

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
666 EQUITIES CORPORATION	79-0560	SD NY	2/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS
A & H FINANCIAL SERVICES, INC.	91-22	CFTC	6/30/92	4b(A) 4b(B) 4k(2) 4n(3) 4n(4) 4o(1)	4.21(a) 4.22(a) 4.23(a)		CEASE & DESIST ORDER REG. REVOKED AS CPO SHALL NOT SEEK REGISTRATION OR CLAIM EXEMPTION MAY NOT ENGAGE IN ACTIVITIES REQUIRING REGISTRATION
A. J. RIFFEL & COMPANY	86-30	CFTC	8/19/86	4b 4d(2) 4g(1) 6(b) 4f(2)	1.17(a) 1.18(a) 1.18(b) 1.20(a) 1.20(c) 1.22 1.23 1.31(a)(1) 1.32 1.35(a) 166.3 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER PENALTY AMOUNT OF \$40,000 SHALL REMOVE RICHARD CRILLY FROM MANAGEMENT
A. L. & T. TRADING, INC.	78-0161	WD LA	2/13/78	4c(b) 4f(1) 4f(2) 4g	1.18 1.31 32.7 32.9 1.17(b)	PERMANENT INJUNCTION	
A.G. EDWARDS & SONS INC.	97-2	CFTC	11/13/96	4(a) 4c(b) 4m(1) 4o(1) 4b 4c(b)	33.10 4.13(b) 4.31(a) 166.2	COMPLAINT FILED	
A.J.S. ENTERPRISES, INC. (A NEVADA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
A+ CURRENCIES INT'L INC.	96-7814	SD NY	12/23/98	4(a) 4b(a)(i) 4d(1) 9(a)(1)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$7,142,393.55 & RESTITUTION OF \$2,380,797.85 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS
ABACUS INVESTMENT GROUP, INC.	97C6528	ND IL	9/23/97	4b(a)(i) 4b(a)(ii)		PERMANENT INJUNCTION	FREEZE OF ASSETS ACCESS BOOKS & RECORDS

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				4o(1) 4m(1) 9(a)(1)			STOP SOLICITATION ACCOUNTING ORDERED TRADING PROHIBITION
ABDO, MICHAEL	87-6637	SD FL	8/30/88			PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT BOOKS & RECORDS SPECIAL MAGISTRATE APPOINTED TO RECEIVE RESTITUTION & DISGORGEMENT AND PROCESS CREDITORS CLAIMS
ABELL, HOWARD	89-27	CFTC	1/16/92	4c(a)(A) 4c(a)(B) 4a(5) 4i	1.38 18.04(d)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$25,000 TRADING PRIVILEGES SUSPENDED ONE MONTH OR LESS SUSPENDED AS FB ONE MONTH OR LESS MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN
ABLE, WILLIAM J.	90-20380	ND CA	5/8/92	4m(1) 4n(3)(A) 4b 4o	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT ORDERED TO DISGORGE AND RETURN \$4,690,725.55
ABRAHAM & SONS CAPITAL, INC.	98-7	CFTC	2/3/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	1.31 4.22(a) 4.22(b) 4.22(c) 4.22(d) 4.23		CEASE AND DESIST ORDER JOINTLY & SEVERALLY OWED RESTITUTION OF \$3.5 MILLION NEVER APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY
AC TRADING GROUP	97-CIV-1360	ND CAL	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4k(2)		PERMANENT INJUNCTION	DISGORGEMENT OF \$2,633,130.40 AND CIVIL MONETARY PENALTY OF \$320,000 JOINTLY & SEVERALLY OWED BY ALL DEFENDANTS FREEZE OF ASSETS STOP SOLICITATION ACCOUNTING ORDERED TRADING PROHIBITION ENJOINED FROM ACTING IN ANY CAPACITY WHICH REQUIRES REGISTRATION UNDER THE ACT
AC TRADING GROUP FUND, LP	97-CIV-1360	ND CAL	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii)		PERMANENT INJUNCTION	DISGORGEMENT OF \$2,633,130.40 AND CIVIL MONETARY PENALTY OF

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1) 4k(2)			\$320,000 JOINTLY & SEVERALLY OWED BY ALL DEFENDANTS FREEZE OF ASSETS STOP SOLICITATION ACCOUNTING ORDERED TRADING PROHIBITION ENJOINED FROM ACTING IN ANY CAPACITY WHICH REQUIRES REGISTRATION UNDER THE ACT
ACE AMERICAN, INC.	79-18	CFTC	7/11/79	4d 4f(2) 4g 4g(1)	1.20(a) 1.17(a)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$10,000
ACKERMAN, JOHN F.	98-9	CFTC	6/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER PENALTY AMOUNT OF \$700,000 JOINTLY & SEVERALLY OWED TRADING PRIVILEGES REVOKED REGISTRATION AS AP REVOKED
ACKHOFF, PETER	84-243PHX	D AZ	9/24/86	19		PERMANENT INJUNCTION	DISGORGEMENT PROTECT BOOKS & RECORDS TRADE FOR LIQUIDATION ONLY RECEIVER APPOINTED ACCOUNTING ORDERED ENJOINED FROM VIOLATIONS OF THE ARIZONA CONSUMER FRAUD ACT PAY \$50,000 TO THE STATE OF ARIZONA FOR COSTS \$3,750,000 FOR PENALTIES AND \$6,992,750 JOINTLY FOR RETURN TO CUSTOMERS
ACLI INTERNATIONAL COMMODITY SERVICES, INC.	86-27	CFTC	7/25/86	4(g)	1.31(a) 1.35(a) 1.37(a) 1.38(b) 17.00(a)(1) 17.00(b) 17.01(b) 166.3		CEASE & DESIST ORDER PENALTY AMOUNT OF \$50,000
ADAMS, RICHARD	98-CIV-1365	SD NY	3/3/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS ACCOUNTING ORDERED
ADKINS, DAVID	87-18	CFTC	7/7/88	4(a)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$40,000 TRADING PRIVILEGES REVOKED
ADLER, SEYMOUR HAROLD	85-6705	SD FL	9/30/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT

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				4b(A) 4b(C)			
ADM INVESTOR SERVICES, INC.	97-5-SD	CFTC	5/16/97	8a(3)(N) 8a(4)			FCM REGISTRATION SUBJECT TO RESTRICTIONS FOR 4 YEARS
ADRIAN DAY INVESTMENT ANALYST L.P.	92-1	CFTC	9/29/92	4c(b) 4d(1)	1.55 30.3(a) 30.4(b) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER MAY NOT SEEK OR ACT IN ANY CAPACITY REQUIRING REGISTRATION FOR 2 YEARS
ADVEST, INC.	88-29	CFTC	12/19/89	4b(A) 4k(1)	1.35 166.2		CEASE & DESIST ORDER PENALTY AMOUNT OF \$10,000 TO RETAIN INDEPENDENT AUDIT FIRM TO REVIEW CERTAIN PRACTICES AND PROCEDURES
ADVICORP ADVISORY & FINANCIAL CORP., S.A.	85-12	CFTC	1/6/86	4b(A) 6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$1,000,000 TRADING PRIVILEGES REVOKED
AGRIDATA	76-21	CFTC	1/11/79	4b 4m 4o			CEASE & DESIST ORDER REGISTRATION REVOKED AS CTA
AGRO-COMMODITIES, INC.	79-30	CFTC	4/21/80	4b 4d 4o 6b	1.10c		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS CTA
AHE CORPORATION	87-N-370WWE	D CT	8/23/88	4b(A) 4m(1) 4o(1) 9(a)	3.4 4.20(a) 4.20(h) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT PERMANENTLY ENJOINED FROM VIOLATING THE CONNECTICUT UNIFORM SECURITIES ACT NOT TO ENGAGE IN ANY BUSINESS REQUIRING REGISTRATION WITH THE COMMISSION OR THE CONNECTICUT DEPARTMENT OF BANKING
AHRENS, KENT ALLEN	1-96-1855	MD PA	10/22/96	4b(a) 4c(b) 4o(1) 4k(3) 4n(3)(A)	33.10 32.9 4.33(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS NEVER APPLY FOR REGISTRATION IN ANY CAPACITY NEVER ACT AS A CPO OR CTA TRADING PROHIBITION FOR 5 YERS RETURN \$182,000 OF CUSTOMER FUNDS (ALSO SATISFIES DISGORGEMENT ORDER ENTERED IN A RELATED SEC

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							PROCEEDING)
AIM INTERNATIONAL, INC.	95-6970	SD FL	11/5/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED
AKAR, EMIL A.	79-21	CFTC	2/23/81	6(b)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$5,000 REGISTRATION DENIED AS CTA, CPO & AP
AKAR, EMIL A.	82-29	CFTC	2/24/86				REGISTRATION DENIED AS CTA
ALAMA, SAMUEL	75-12	CFTC	12/30/75	4d	1.20 1.7		CEASE & DESIST ORDER TRADING PRIVILEGES SUSPENDED FOR 60 MONTHS
ALAN J. RIDGE AND COMPANY, LTD.	80-16	CFTC	3/22/83				TRADING PRIVILEGES SUSPENDED FOR 12 MONTHS
ALAN J. ROSENBERG, INC.	80-29	CFTC	10/21/86	4b 4c(a)	1.38		CEASE & DESIST ORDER PENALTY AMOUNT OF \$90,000 JOINTLY OWED TRADING PRIVILEGES SUSPENDED FOR 4 MONTHS
ALBINO, GLORIA A.	95-11	CFTC	4/23/98	4c(b)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$25,000 REGISTRATION REVOKED AS AP PROHIBITED FROM SEEKING REGISTRATION WITH THE CFTC IN ANY CAPACITY, OR FROM ACTING IN ANY CAPACITY THAT WOULD REQUIRE REGISTRATION
ALCHEMY FINANCIAL GROUP, INC.	H-96-1213	SD TX	5/28/99			JUDGMENT	DEFENDANTS URBANI AND ALCHEMY JOINTLY & SEVERALLY OWE RESTITUTION OF \$70,832.45 PLUS POST-JUDGMENT INTEREST
ALEMANIA, RODERICK	80-27	CFTC	1/9/84	4b 4h 4k			CEASE & DESIST ORDER TRADING PRIVILEGES SUSPENDED FOR 36 MONTHS NOT TO APPLY FOR REGISTRATION FOR 3 YEARS
ALEXANDRE-THYSSEN, ELIZABETH	83-19	CFTC	2/10/84	4b(A) 4n(1) 4n(3)(A)	1.10c 1.10d 1.14		CEASE & DESIST ORDER PENALTY AMOUNT OF \$140,000 JOINTLY OWED

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				4n(4) 4o(1)	4.21(a) 4.22(c) 4.23(a)		TRADING PRIVILEGES REVOKED
ALHAMBRA SUN HING BULLION	92-9	CFTC	12/9/91	4(a)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$140,000 JOINTLY OWED TRADING PRIVILEGES REVOKED MAY NEVER APPLY TO REGISTER
ALHAMBRA SUN HING BULLION LIMITED	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
ALLEN, JAMES A.	79-28	CFTC	1/22/81	4c(b)	32.9 32.3(b)(2)		CEASE & DESIST ORDER SUSPENDED AS AP FOR 12 MONTHS
ALLEN, RICHARD C.	80-7	CFTC	6/26/84	4b 4o 4k 4n 4f 8a(3)	1.10(c) 1.10(d) 1.14		CEASE & DESIST ORDER PENALTY AMOUNT OF \$100,000 TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS CTA, CPO
ALLEN, ROBERT CARTER	76-19	CFTC	12/27/76	4b 4o(1) 4m			CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED
ALLIED FINANCIAL GROUP, INC.	C2-94-981	SD OH	11/19/97	4b(a)(i) 4b(a)(ii) 4o(1) 4n(3)(A) 4m(1) 4k(s)	4.20(c) 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS
ALM, CARL D.	99-11	CFTC	5/20/99	6(c) 6(d) 9(a)(2)		COMPLAINT FILED	
ALMGREN, CARLTON G.	78-48	CFTC	1/31/84	4b(A) 4d(2) 4g(1)	1.20 1.21 1.37		CEASE & DESIST ORDER PENALTY AMOUNT OF \$35,000 TRADING PRIVILEGES SUSPENDED FOR 33 MONTHS REGISTRATION REVOKED AS AP
ALSAFARI, ABDULLA a/k/a VINCENT ALSAFARI a/k/a VINCENTA ALSAFARI a/k/a VICENTA ALSAFARI d/b/a YENTRADING.COM	C 00 3202	N.D. CAL.	9/6/00	4b(a)(i) 4b(a)(iii)		STATUTORY & TEMPORARY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS.
ALTER, JOSEPH	79-1	CFTC	9/27/79				PENALTY AMOUNT OF \$10,000 JOINTLY PAY \$100,000 INTO ESCROW FOR CUSTOMERS NOT TO APPLY FOR REGISTRATION FOR 8 YEARS

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ALTER, JOSEPH D.	77-2678EW	SD NY	6/22/77	4c(b) 4o(1)	30.01 32.8(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS PROTECT BOOKS & RECORDS
ALTIERI, LINDA FRANCIS	88-21	CFTC	12/16/88	4b			CEASE & DESIST ORDER PENALTY AMOUNT OF \$10,000 TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS AP
AMALGAMATED REDEMPTION CENTERS, INC.	87-2591HAA	D NJ	11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS
AMERICAN BOAD OF TRADE, INC. (THE)	79-2134VB	SD NY	10/30/81 5/24/85	4c(b) 4c(c)	32.7 32.11	PERMANENT INUNCTION	ACCESS BOOKS & RECORDS APPEALED AFFIRMED ON APPEAL TO 2D CIR. 5/24/85 - DISGORGEMENT AFFIRMED ON APPEAL TO 2D CIR. 10/10/86
AMERICAN BOARD OF TRADE SERVICE CORP. INC.	79-2134VB	SD NY	10/30/81 5/24/85	4c(b) 4c(c)	32.7 32.11	PERMANENT INUNCTION	ACCESS BOOKS & RECORDS APPEALED AFFIRMED ON APPEAL TO 2D CIR. 5/24/85 - DISGORGEMENT AFFIRMED ON APPEAL TO 2D CIR. 10/10/86
AMERICAN COAL COMPANY, INC.	81-2250-W	WD TN	1/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
AMERICAN COMMODITIES TRADING SYSTEMS	80-0689	SD NY	7/22/81	4 4b			
AMERICAN COMMODITY GROUP CORPORATION	82-6	CFTC	5/22/85				TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS CTA, CPO
AMERICAN COMMODITY GROUP CORPORATION	82-6108	SD FL	1/7/83	4 4h 4n(3)(A) 4o(1)	4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS STOP SOLICITATION RECEIVER APPOINTED ACCOUNTING ODERED TO BE DISSOLVED
AMERICAN CURENCY EXCHANGE, INC.	79-4867	SD NY	10/30/79	4c(b) 4c(c)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS
AMERICAN FUTURES	88-4	CFTC	2/11/88	4f(2)	1.10(b)(2)		CEASE & DESIST ORDER

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CORPORATION				6(b)	1.10(d) 1.17(a)		PENALTY AMOUNT OF \$35,000 REGISTRATION REVOKED AS FCM
AMERICAN FUTURES GROUP, INC.	95-15	CFTC	8/20/97				TRADING PRIVILEGES REVOKED
AMERICAN HERITAGE RESEARCH, INC.	85-1229	SD OH	8/2/85	4(a)		PERMANENT INJUNCTION	PROHIBITED FROM SELLING SECURITIES EXCEPT IN FULL COMPLIANCE WITH THE OHIO SECURITIES ACT
AMERICAN INTERNATIONAL TRADING CO.	76-20	CFTC	9/29/76	4b			TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS FCM CEASE DOING BUSINESS PENALTY AMOUNT OF \$250,000 LESS REPARATION PAYMENTS TO CUSTOMERS
AMERICAN INTERNATIONAL TRADING COMPANY	76-2095R	CD CA	7/30/76	4b 4c		PERMANENT INJUNCTION	
AMERICAN METALS EXCHANGE CORP.	87-2591HAA	D NJ	11/14/91	4b(A) 4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS
AMERICAN MONETARY ASSOCIATED SERVICES, INC.	82-43	CFTC	9/24/84	4b 4n(3) 4n(4) 4o(1)	4.20(c) 4.21 4.22 4.24(a)		CEASE & DESIST ODE PENALTY AMOUNT OF \$5,000
AMERICAN MONETARY INVESTMENTS, INC.	84-0621-R	ND TX	11/19/84	4d(1) 4d(2) 4k 4(a) 4b(D) 4b(A) 4o(1) 4n(3)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS STOP SOLICITATION TRADE FOR LIQUIDATION ONLY RECEIVER APPOINTED ACCOUNTING ORDERED
AMERICAN OPTIONS CORPORATION	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
AMERICAN PETROLEUM & OIL EXCHANGE	80-0689	SD NY	9/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED

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AMERICAN POTATO EXPORTERS, INC.	79-36	CFTC	8/24/81	4a(2)(B) 6(b)	150.10(a) 18.00 18.01 18.03 19.00 19.04 19.10		CEASE & DESIST ORDER TRADING PRIVILEGES SUSPENDED FOR 36 MONTHS
AMERICAN TRADING GROUP	87-6637	SD FL	8/30/88	4d(1) 4k(1)		PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT BOOKS & RECORDS SPECIAL MAGISTRATE APPOINTED TO TAKE CONTROL OF ATG'S ASSETS PROCESS CREDITORS CLAIMS AND DISSOLVE ATG
AMERICAN-OVERSEAS TRADING CORPORATION	75-1970A	ND GA	10/15/76	4c(b) 4m	30.01 30.02	PERMANENT INJUNCTION	
AMERINATIONAL FINANCIAL SERVICES	96-D-389	D COL	1/24/97			DEFAULT JUDGMENT	DISGORGEMENT OF \$2,496.16
AMICI, JAMES JOHN	79-3558	SD FL	2/12/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
AML FUTURES, INC.	86-27	CFTC	7/25/86	4(g)	1.31(a) 1.35(a) 1.37(a) 1.38(b) 17.00(a)(1) 17.00(b) 17.01(b) 166.3		CEASE & DESIST ORDER PENALTY AMOUNT OF \$50,000
AMMONS, JAMES O.	86-H-4366	SD TX	3/9/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS STOP SOLICITATION TRADE FOR LIQUIDATION ONLY RECEIVER APPOINTED ACCOUNTING ORDERED COSTS AWARDED ENJOINED FROM VIOLATION OF TEXAS SECURITIES AND DECEPTIVE TRADE PRACTICES LAWS TO PAY THE STATE OF TEXAS \$10,000 PENALTY AND \$10,000 JOINTLY FOR COSTS

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							3/28/87 - CHARGED W/ CIVIL CONTEMPT
AMODEO, FRANK	93-2	CFTC	5/5/99	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$100,000 TRADING PRIVILEGES SUSPENDED FOR 6 MONTHS REGISTRATION REVOKED AS FB
AMOS, WILLIAM E.	CV-98-N-1755-S	ND ALA	7/7/98	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1)(A) 4o(1)(B) 4n(4)	4.20(c) 3.21(a) 4.21 4.22 4.24 4.25 4.26	RESTRAINING ORDER	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED
AMUNDSON, LEE DONALD	98-4	CFTC	8/24/98	4(a) 4b(a) 4o(1)(A) 4o(1)(B)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$20,000 JOINTLY OWED AMUNDSON SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION NOR SHOULD HE ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION FOR A PERIOD OF 6 YEARS FROM THE DATE OF THE ORDER
ANDERSON FAMILY TRUST	95-C-5422	ND IL	9/22/95	4b(a)(i) 4b(a)(ii) 4d(1) 4d(2) 4m(1) 4o(1) 9(a)(1)		RESTRAINING ORDER	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED - R. DICKEY HAMILTON, ESQ.
ANDERSON, CHRIS E.	88-18	CFTC	6/7/88	4b(A) 4k(1) 6(b)	1.31(a) 166.2 166.3		CEASE & DESIST ORDER PENALTY AMOUNT OF \$5,000 TRADING PRIVILEGES SUSPENDED FOR 24 MONTHS SUSPENSION AS AP FOR ONE MONTH OR LESS
ANDERSON, GARY BRUCE	950C05422	ND IL	4/25/97	4d(1) 4m(1) 4b(a)(i) 4b(a)(ii) 4o(1) 9(a)(1) 4d(2)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS STOP SOLICITATION
ANDERSON, ROBERT F.	80-22	CFTC	10/21/83	4b			CEASE & DESIST ORDER PENALTY AMOUNT OF \$20,000
ANDERSON, ROBERT F.	SD-85-2	CFTC	3/30/87				CONDITIONALLY REGISTERED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AS AN AP
ANDREWS, ANTHONY F.	96-2185	D AZ	1/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 4d(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS STOP SOLICITATION DEFENDANTS ARE JOINTLY & SEVERALLY LIABLE FOR RESTITUTION AMOUNT OF \$602,088.05 TRADING PROHIBITION ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT ("ASA"); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER ACT OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT
ANDREWS, CHARLES E.	95-13-SD	CFTC	5/9/95				AP & FB REGISTRATIONS SUSPENDED UNTIL FINAL DISPOSITION OF UNDERLYING CRIMINAL ACTION
ANDREWS, CHARLES E.	95-18-SD	CFTC	8/7/95				REGISTRATION REVOKED AS AP & FB
ANDREWS, HAROLD	76-2095R	CD CA	7/30/76	4b 4k		PERMANENT INJUNCTION	
ANDREWS, HAROLD LEIGH	76-14	CFTC	6/23/76				REGISTRATION DENIED AS AP
ANDREWS, PATRICIA G.	96-2185	D AZ	1/22/98				MARITAL PROPERTY W/ ANTHONY F. ANDREWS CAN BE USED TO PAY RESTITUTION
ANGLO-AMERICAN, LTD.	80-01109	CD CA	5/7/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS ENJOINED FROM TRADING PETROLEUM FUTURES
ANGLO-SWISS METALS LTD.	87-2591HAA	D NJ	11/14/91	4b(A) 4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS
ANIXER, SCOTT C.	91-2	CFTC	12/17/90	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER TRADING PRIVILEGES SUSPENDED FOR 6 MONTHS SUSPENDED AS FB FOR 6 MONTHS LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS
ANNAPOLIS FUNDING	80-1723	D MD	12/31/80	4c(b)	32.9	PERMANENT INJUNCTION	RECEIVER APPOINTED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COMPANY				4c(c)			
ANTHONY, MICHAEL	85-1555	ND CA	11/6/87	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS PROTECT BOOKS & RECORDS PAY \$400,000 TO RECEIVER
ANTONACCI, GARY S.	83-37	CFTC	4/18/90	4n 6(b)	4.21(a) 4.21(g) 4.21(h) 4.31(a) 4.31(f) 4.31(g)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$15,000 REGISTRATION REVOKED AS CPO, CTA & AP REGISTRATION DENIED AS CPO
ANTONACCI, GARY S.	98-8	CFTC	3/5/98	4m(1)			CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED ALL CONTRACT MARKETS SHALL REFUSE ANTONACCI TRADING PRIVILEGES BEGINNING ON THE 3 RD MONDAY AFTER THE DATE OF THIS ORDER THE 3/5/98 ORDER STATES THAT ANTONACCI SHALL NOT ACT IN ANY CAPACITY AS A CTA/CPO OR AS AN AGENT OR OFFICER OF ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED AS CTA OR CPO
APACHE TRADING CORPORATION	87-14	CFTC	8/25/89	4c(b) 4k(1) 6(b)	33.10		CEASE & DESIST ORDER
APPLETON, PHILIP S.	78-1604CSH	SD NY	12/7/78	4f 4g 6(b)	1.10 1.17 1.18	PERMANENT INJUNCTION	
APPLIED CAPITAL MANAGEMENT, LLC	1:99-CV-138	E.D TN.	9/15/00	4b(a)(i) 4b(a)(ii) 4o(1) 4k(2) 4n 9(a)(3)	4.21 4.22	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; JOINT OWED RESTITUTION OF \$334,167 PLUS PRE-JUDGEMENT INTEREST OF \$36,636 W/ CO-DEFENDANT SHELDON; PREVIOUS ORDERS AS TO APPLIED CAPITAL MANAGEMENT SHALL EXPIRE UPON THE ENTRY OF THIS ORDER.
ARABATZIS, STEVEN M.	78-52	CFTC	3/5/84	4c(b) 4k	32.3(b) 32.5(a) 32.5(c) 32.5(d) 32.7(e)		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS AP

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ARABATZIS, STEVEN M.	79-1671	SD NY	1/1/84	4b 4c(b) 4c(c) 4k 4o	32.9 32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT
ARCHARAY ENTERPRISE CORPORATION	79-4873	SD NY	10/23/79	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS PROTECT BOOKS & RECORDS RECEIVER APPOINTED
ARCHER, STEVEN DOYLE	78-32	CFTC	12/12/78	4c(b)	30.01 32.9		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS AP
ARCUS, ARNOLD	79-26	CFTC	1/6/82	4c(b)	32.9		CEASE & DESIST ORDER
ARCUS, ARNOLD	79-53	CFTC	7/17/79				CONSOLIDATED WITH 79-26
ARGUS CORPORATION	90-26	CFTC	9/18/90	4d(2) 4g	1.12(d) 1.20(c) 1.21 1.33(f) 1.37 166.3		CEASE & DESIST ORDER PENALTY AMOUNT OF \$45,000
ARMSTRONG REPORT, INC.	85-47	CFTC	2/8/93	4m 4b(A) 4o(1)	4.32 4.31(b) 4.41(a) 4.41(b)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$4,000
ARMSTRONG, MARTIN A.	85-47	CFTC	3/10/95	4b(A) 4o(1)	4.31(a) 4.31(b) 4.41(a) 4.41(b)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$12,000 RESPONDENT MOTION FOR CLARIFICATION AND RECONSIDERATION DENIED 5/4/95
ARMSTRONG, MARTIN A.	87-10	CFTC	7/16/87				APPEALED CONSOLIDATED WITH 85-47
ARMSTRONG, MARTIN A.	99-CIV-9669	S.D. NY	11/30/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m 4o		PRELIMINARY INJUNCTION	ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
ARNDT, GEORGE PHILIP	86-31	CFTC	8/19/86		4o(1)	4.41(a) 4.41(b)	CEASE & DESIST ORDER PENALTY AMOUNT OF \$35,000 JOINTLY OWED TO UNDERTAKE TO COMPLY WITH REGULATION 4.31
ARNOLD, CURTIS MCNAIR	97-12	CFTC	8/14/00	4b(a)(i) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$100,000; TRADING PRIVILEGES SUSPENDED 3 YEARS; SHALL COMPLY WITH UNDERTAKINGS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							INCLUDING: NEVER APPLYING FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY.
ARNOLD, EDWARD A.	79-35	CFTC	3/21/79	4b(D)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$20,000 TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS FB
ARNOLD, WILLIAM EUGENE	98-4	CFTC	12/18/98	4(a) 4b(a) 4o(1)(A) 4o(1)(B)	166.4		CEASE & DESIST ORDER REGISTRATION REVOKED AS AP
ARNOUX, MARK HARRY	86-22	CFTC	9/10/86	4b(A) 4b(C)	166.2		CEASE & DESIST ORDER PENALTY AMOUNT OF \$25,000 TRADING PRIVILEGES REVOKED
ARONOWITZ, PAUL	98-CIV-1365	SD NY	3/3/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS ACCOUNTING ORDERED
ARS FINANCIAL SERVICES	H-96-1213	SD TX	6/8/98	4b(a)(ii) 4o(1) 4n(4)	4.20(b) 4.20(c) 4.13(b)(1) 4.13(b)(2) 4.30	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS STOP SOLICITATION TRADING PROHIBITION ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT OR SEEKING REGISTRATION WITH COMMISSION
ARTHUR ANDERSEN & CO.	86-37	CFTC	9/30/86		1.16		CEASE & DESIST ORDER PENALTY AMOUNT OF \$50,000
ASHER, DANIEL B.	SD-98-6	CFTC	5/29/98	8a(3)(M) 8a(4)			FB RESTRICTED AS FOLLOWS: SHALL NOT SERVE ON ANY DISCIPLINARY COMMITTEE, GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION SUBJECT TO REGULATION BY THE COMMISSION; MAY NOT ACT AS FB/FT UNLESS HIS FLOOR TRADING ACTIVITIES ARE SUBJECT TO A SUPPLEMENTAL SPONSOR CERTIFICATION STATEMENT; THE RESTRICTION SHALL REMAIN IN EFFECT UNTIL TWO YEARS AFTER THE ORDER
ASHMAN, BRADLEY STEVEN	91-17	CFTC	4/22/98	4b(A) 4b(B)	1.38(a)		THE TRADING PROHIBITION AND C&D ORDER PREVIOUSLY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(D) 4c(a)(A)			IMPOSED BY THE ALJ (5/12/95) SHALL BECOME EFFECTIVE 30 DAYS FROM THE ORDER DATED 4/22/98
ASHTON AND ST. JOHN'S INCORPORATED	80-3707	SD NY	3/10/81	4o(1) 4n(4) 4n(3)	4.22 4.23 4.24 4.21(b) 4.21(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS PROTECT BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED
ASHTON AND ST. JOHN'S INCORPORATED	81-10	CFTC	3/27/81	4o(1) 4n(3)(A) 4n(4)	4.21 4.22 4.23 4.24		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRAION REVOKED AS CPO
ASSOCIATED FINANCIAL SERVICES, INC.	87-6895G	SD FL	11/19/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT TRADING PROHIBITION; ENJOINED FROM VIOLATING THE FLORIDA STATUTES GOVERNING FRAUD AND BOILER ROOMS SHALL NOT APPLY FOR REGISTRATION OR ENGAGE IN COMMODITY FUTURES BUSINESS.
ASTOR AND MONTCALM, INC.	79-1671	SD NY	1/1/84	4b 4c(b) 4c(c) 4k 4o	32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT
ATHANSON, HARRY J.	86-15	CFTC	8/27/86	4b(A)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$16,000 TRADING PRIVILEGES REVOKED
ATLANTIC FUTURES INC.	85-1	CFTC	4/23/85	4b(A) 4o(1)	4.21(a) 4.21(a)(3) 166.3 4.41(a)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$100,000 JOINTLY OWED CTA & CPO REGISTRATION SUSPENDED FOR 6 MONTHS SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION TRADING PROHIBITION
ATLANTIC GOLD COINS, INC.	84-6717	SD FL	12/4/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT RECEIVER APPOINTED
ATLANTIC MERCANTILE GROUP, INC.	91-CIV-6136	SD FL	8/6/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3	PERMANENT INJUNCTION	
ATLANTIC MERCANTILE GROUP, INC.	92-23	CFTC	7/27/92	4b 4c(b)	33.7(f) 33.10 166.2		CEASE & DESIST ORDER IB REGISTRATION REVOKED SHALL NEVER SEEK

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					166.3		REGISTRATION W/ COMMISSION IN ANY CAPACITY
ATLANTIC TRADING COMPANY	80-9	CFTC	12/9/81	4b(C) 4d(2) 4f(2) 4g	1.17(a) 1.23 1.31 1.32 1.33(a)(1) 1.34 1.35(a) 1.46(a)		CEASE & DESIST ORDER FCM REGISTRATION REVOKED
AUCELLA, DAVID J.	86-6	CFTC	1/15/91	4b	166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; AP REGISTRATION REVOKED; THIS ACTION WILL NOT TAKE EFFECT UNTIL THE CRIMINAL ACTION AGAINST HIM IS SETTLED.
AUGELLO, VINCENT	96-1-SD	CFTC	11/27/96	8a(2)(D)			FB REGISTRATION REVOKED
AUGUSTINE, JAMES DEMETRIUS	86-1479G	ND TX	6/16/86	4c(c) 4c(b)		PERMANENT INJUNCTION	PROHIBITED FROM VIOLATING TEXAS SECURITIES ACT
AURIC EQUITY CORPORATION	80-0421	SD NY	6/21/83	4b(A) 4n(3)(A) 4n(4) 4o(1)	4.20(c) 4.21(a) 4.22(a) 4.23	PERMANENT INJUNCTION	
AUSTER, MORRIS	79-61	CFTC	10/4/81	6(b)			CEASE & DESIST ORDER; AP REGISTRATION REVOKED; AFFIRMED ON APPEAL BY 9 TH CIR.
AUSTER, MORRIS	83-39	CFTC	11/8/83				CTA REGISTRATION REVOKED.
AUTOMATED TRADING SYSTEMS, INC.	96-08202	SD FL	6/25/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4d(1) 4d(2) 4m(1) 4k(1) 4k(2) 9(a) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	RESTITUTION OF \$24,309 PLUS PRE-JUDGMENT INTEREST/
AVCO FINANCIAL CORP.	97-CIV-3119	SD NY	10/13/98	1(a)(5) 4k(3) 4o(1)(A) 4o(1)(B) 4b(a)(i)	1.33(a)(4) 4.41		DISGORGEMENT OF \$701,534 JOINTLY & SEVERALLY OWED W/ ANTHONY VARTULI; FREEZE ASSETS; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONEARY PENALTY OF \$5,000;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							JUDGMENT BY COURT AFTER ITS ISSUANCE ON 8/20/98 PERMANENT INJUNCTION.
AYM FINANCIAL CORP.	96-CV-2640	E.D. PA.	10/20/99			FINAL ORDER OF DISTRIBUTION, SUPPLEMENTING PERMANENT INJUNCTION	JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$3,000,000. ALL BUT \$77,618 IS WAIVED BASED ON PALEY & JUECHTER'S SWORN FINANCIAL STATEMENTS. PAYMENT BY PALEY, JUECHTER & AYM IN ACCORDANCE W/ RESTITUTION ORDER ENTERED IN SEC V. AYM SATISFIES DUTY TO PAY \$77,618 TO CFTC.
B&B COMMODITIES	80-28	CFTC	3/27/86	4c(a)			CEASE & DESIST ORDER; PENALTY AMOUNT OF \$10,000; TRADING PRIVILEGES SUSPENDED FOR 1 MONTH OR LESS; FCM REGISTRATION SUSPENDED FOR 1 MONTH OR LESS; APPEALED; APPEAL WITHDRAWN 11/26/86.
BABIO, JOSEPH JR.	91-22	CFTC	6/30/92	4k(2)			CEASE & DESIST ORDER; PENALTY AMOUNT OF \$2,500; SHALL NOT SEEK REGISTRATION W/ COMMISSION IN ANY CAPACITY; SHALL NOT ENGAGE IN ACTIVITIES REQUIRING REGISTRATION.
BACHUS & STRATTON COMMODITIES	94-2	CFTC	10/21/93	4b(a) 4c(b) 4o	33.7(f)'		
BACHUS & STRATTON COMMODITIES, INC.	92-6427	SD FL	10/18/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a) 166.3	PERMANENT INJUNCTION	
BAILIN, ROBERT H.	93-20	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 1 MONTH OR LESS; FB REGISTRATION SUSPENDED 1 MONTH OR LESS; DIVISION OF ENFORCEMENT MOTION FOR PARTIAL SUMMARY DISPOSITION GRANTED; LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO ACT AS FB FOR 6 MONTHS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BAIRD, LINDA RAE	80-27	CFTC	1/9/84	4b 4h 4k			CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 36 MONTHS; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
BAKAL, BARNETT	89-27	CFTC	1/16/92	4a(5) 4i 6(b)	18.04		CEASE & DESIST ORDER; PENALTY AMOUNT \$35,000; TRADING PRIVILEGES SUSPENDED 4 MONTHS; FB REGISTRATION SUSPENDED 4 MONTHS; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN.
BAKAS, DAVID PETER	75-5	CFTC	9/5/75	4b 4d 9	1.20		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 60 MONTHS.
BAKER, DAVID ANDREW	90-31	CFTC	10/29/91	4b(A) 4c(a)(B) 4b(D) 4g(1) 4c(a)(A)	1.31(a) 1.35(a-1) 1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$5,000; TRADING PRIVILEGES SUSPENDED 4 MONTHS; MAY NOT APPLY FOR REGISTRATION OR ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION FOR 3 YEARS.
BAKER, JOHN M.	93-12	CFTC	5/28/97	4b(a)(iv)	1.38(a)		CEASE & DESIST ORDER; FB REGISTRATION REVOKED; FB REGISTRATAION SUSPENDED 84 MONTHS.
BAKER, ROBERT V.	89-2-SD	CFTC	3/19/90				CPO REGISTRATION REVOKED.
BAKER, SANDY	83-16	CFTC	2/15/83	4e			CEASE & DESIST ORDER; PENALTY AMOUNT \$10,000.
BAKSHEEFF, CONSTANTINE	78-48	CFTC	1/31/84	4b(A) 4d(2) 4f(2) 4f(1) 4g(1)	1.37 1.20(a) 1.21 1.17 1.10(f)		CEASE & DESIST ORDER; PENALTY AMOUNT \$70,000; TRADING PRIVILEGES SUSPENDED 33 MONTHS; AP REGISTRATION REVOKED.
BAKSHEEFF, CONSTANTINE	80-34	CFTC	3/20/86				CTA REGISTRATION DENIED.
BALFOUR MACLAINE FUTURES, INC.	90-1	CFTC	4/17/90	4c(a)(A)	166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$150,000 JOINTLY OWED.
BALFOUR MACLAINE INTERNATIONAL, LTD.	90-1	CFTC	4/17/90	4c(a)(A)			CEASE & DESIST ORDER; PENALTY AMOUNT \$150,000 JOINTLY OWED.
BALFOUR MACLAINE, INC.	81-2431	SD NY	10/14/81	4d(2)	1.20(a) 1.22	PERMANENT INJUNCTION	SHALL PAY TO COMMODITY RESOURCES, INC. \$58,527 FOR RETURN TO CUSTOMERS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BALFOUR MACLAINE, INC.	88-28	CFTC	3/21/89	4g 4i	17.00(a) 17.00(e) 17.00(f) 17.01 17.02 166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$15,000.
BALLARD, TERENCE	86-36	CFTC	3/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$5,000; TRADING PRIVILEGES SUSPENDED 6 MONTHS.
BALLY, JEAN-JACQUES	85-12	CFTC	1/6/86	4b(A) 6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PENALTY AMOUNT \$1,000,000; TRADING PRIVILEGES REVOKED.
BALTER, JACK	85-72563	ED MI	11/1/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
BALTER, WILLIAM	85-72563	ED MI	11/1/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
BAMAODAH, AHMED ABDUL QUAWI	84-4	CFTC	4/18/86	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PENALTY AMOUNT \$30,000; TRADING PRIVILEGES SUSPENDED 3 MONTHS.
BAN, MARTA	97-6800	CD CAL	5/4/98	4b(a)(i) 4b(a)(ii) 4m 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	STOP SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT.
BANDEMER, RICHARD A.	95-6221	SD FL	11/27/96	4m(1) 4o(1)(A) 4o(1)(B) 4b(a)(i)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGEMENT; STOP SOLICITATION; DISGORGE \$25,000 PLUS ALL ASSETS OF JDI AND PHOENIX TRADING, PLUS 25% OF THE DIFFERENCE BETWEEN HIS INCOME AND \$100,000 FOR 60 MONTHS.
BANQUE POPULAIRE SUISSE	80-8	CFTC	10/9/81	4i	21.02		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 3 MONTHS.
BARAGOSH, ESFAND	CIV-PJM-98-3316	D. MD.	3/20/00	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv)		SUMMARY JUDGEMENT	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; SHALL NOT SEEK APPLICATION FOR REGISTRATION W/ COMMISSION; STOP SOLICITATION; RESTITUTION OF \$5,264,251

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PLUS PRE & POST JUDGEMENT INTEREST. CIVIL MONETARY PENALTY OF \$1,211,058 PLUS POST JUDGEMENT INTEREST.
BARAL CORPORATION	83-CV-1885	ED MI	7/6/85	4o(1) 4d 4n(3) 4b	4.21(a) 4.41(b) 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE ASSETS; PROTECT BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
BARATH, HARRY	79-3	CFTC	1/8/79				AP REGISTRATION DENIED.
BARATZ, PHILIP J.	87-14	CFTC	4/26/88		166.3		CEASE & DESIST ORDER; SUSPENDED AS AP 3 MONTHS; NOT TO ACT IN SUPERVISORY CAPACITY FOR 1 YEAR.
BARBACK, RONALD	3:97CV638	ED TN	3/24/98	4b(a)(i) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION W/ COMMISSION IS REQUIRED OR SEEKING ANY SUCH REGISTRATION WITH THE COMMISSION; PROHIBITED FROM TRADING HIS ACCOUNTS FOR 3 YEARS; SHALL PAY RESTITUTION IN THE AMOUNT OF \$102,843.98; NFA WILL MONITOR HIS COMPLIANCE.
BARBAKOW, MAURICE	79-03851	CD CA	5/10/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
BARBARINO, FRANK	SD-99-3	CFTC	12/21/99		8a(3)(M) 8a(4)	COMMISSION ORDER	REGISTRATION AS FB RESTRICTED.
BARBEE, PHILIP	86-36	CFTC	3/27/87		166.3		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$5,000.
BARCAL, WILLIAM A. III	91-16	CFTC	5/5/94	4b(B) 4b(D)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; APPEALED; RESPONDENT APPEAL DISMISSED 6/19/95.
BARCLAY COMMODITIES CORPORATION	78-1069	SD FL	10/26/81	4c(b) 4o(1)	32.5(a) 32.8 32.9 30.01(c)	PERMANENT INJUNCTION	
BAREN, MARTIN RICHARD	SD 95-2	CFTC	4/3/95				FT REGISTRATION DENIED.
BARGER, EDWARD L.	86-16	CFTC	2/3/87	4(a)			CEASE & DESIST ORDER; PENALTY AMOUNT OF \$15,000;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SHALL NOT APPLY FOR REGISTRATION FOR 3 YEARS.
BARLEY, CHARLES M.	90-30	CFTC	9/25/90	4a(5) 4c(a) 4g	17.00 17.01 1.35(a-1)(1)		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$35,000; SUSPENSION AS AP FOR 1 MONTH OR LESS.
BARNARD, ROSS A.	86-6	CFTC	11/28/99	4b	166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP.
BARNES, DON F.	78-120A	ND GA	1/26/78	4f 4g	1.17 1.18 1.32	PERMANENT INJUNCTION	
BARNES, DON F.	78-45	CFTC	8/2/79	4f(1) 4f(2) 4g	1.17 1.18 1.32		CEASE & DESIST ORDER; REGISTRATION REVOKED AS AP.
BARRETT BELL INVESTMENT CORP.	93-C1022E	ND OK	12/11/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)(A) 4n(3)(A) 9(A)(1) 4o(1)(B)	4.21 4.22	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
BARRICK, LARRY D	81-0633	D UT	8/26/81	4o(1)		PERMANENT INJUNCTION	
BARRIER, JERRY B.	85-5	CFTC	8/30/85	4a(2)(B) 4i	18.00 18.01(a) 18.01(d) 18.04 150.2		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 12 MONTHS; REGISTRATION REVOKED AS AP; SHALL COOPERATE W/ COMMISSION.
BARTELSTEIN, ALAN M.	85-46	CFTC	2/21/86	4c(a)(B) 4e	1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$20,000; TRADING PRIVILEGES SUSPENDED FOR 1 MONTH OR LESS; SHALL NOT APPLY FOR REGISTRATION FOR SIX MONTHS.
BARTEX PETROLEUM CORP.	80-0689	SD NY	7/19/82	4b		PERMANENT INJUNCTION	
BARTH, CHARLES NICHOLAS	95-279-L-S	WD KY	12/1/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4d(1) 4o 4m 4n 4k(1) 4k(2)	4.20 4.23 3.12 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE ACT AND FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							THE COMMISSION IS REQUIRED UNDER THE ACT.
BARTLETT, ROBERT S.	92-041-LDG	D NV	8/3/93				COURT ORDERED DISGORGEMENT; RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; DISGORGE AT LEAST \$434,834.00 WITHIN 90 DAYS; ALL CONTRACTS RESCINDED COURT ORDER.
BARTON, MATTHEW FRANCIS	SD 94-3	CFTC	1/5/94				CONDITIONAL FT REGISTRATION GRANTED; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
BARTONE BROKERAGE CORPORATION	88-34	CFTC	9/30/88				REGISTRATION REVOKED AS IB; SHALL NEVER SEEK REGISTRATION W/ COMMISSION.
BARTONE, WILLIAM A. JR.	88-0584OHLH	CD CA	9/30/88	4(a) 4b(A)		PERMANENT INJUNCTION	
BARTONE, WILLIAM A. JR.	88-34	CFTC	9/30/88	4a 4b(A)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP; SHALL NEVER SEEK REGISTRATION W/ COMMISSION.
BASHISTA, RONALD	78-48	CFTC	1/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PENALTY AMOUNT \$6,000; REGISTRATION REVOKED AS AP.
BATES, UNDERWOOD & CO., INC.	79-03851	CD CA	5/9/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
BAUER, FRANK J.	79-30	CFTC	4/21/80	4b 4d 4c(b) 4o 6(b)	32.3 1.10b 1.10c		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP & CPO.
BAUMAN, BERNARD	79-1	CFTC	2/1/85				REGISTRATION REVOKED AS AP.
BAUMAN, BERNARD	79-3558	SD FL	2/6/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	SHALL PAY \$1,000 TO RECEIVER.
BAUMGARD, JAMES	00-07	CFTC	3/7/00	4b(a)(i) 4b(a)(iii) 4c(b)	33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; REGISTRATION AS AP SUSPENDED 60 DAYS; REGISTRATION AS AP CONDITIONED & RESTRICTED AFTER 60 DAY SUSPENSION IS CONCLUDED; SHALL COMPLY W/ UNDERTAKINGS, INCLUDING: PAY FARMER'S COMMODITIES CORP. \$75,000 IN CONNECTION

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							WITH CONDUCT IN CASE. PENALTY AMOUNT \$25,000.
BAXTER INVESTMENTS, INC.	88-2185	SD FL	12/14/89	4b 4c(b) 4g(1) 4n(3) 9(a) 4k	33.10 1.31 1.35 4.23 4.32 166.3 3.12 3.16	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
BAXTER INVESTMENTS, INC.	90-2	CFTC	12/1/89	4b 4c(b) 4g(1) 4k 4n(3) 9(a)	3.16 4.23 4.32 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS CTA, CPO, AND FCM; SHALL NEVER SEEK REGISTRATION.
BE LOW, RICHARD	86-19	CFTC	2/10/87	4(a)			CEASE & DESIST ORDER; PROHIBITED FROM ANY ACTIVITY REQUIRING CFTC REGISTRATION FOR 5 YEARS; APPEAL WITHDRAWN 3/24/87.
BEAR STEARNS & CO., INC.	92-5	CFTC	11/19/91	6(b)	166.3 1.35(a-1)(2)		CEASE & DESIST ORDER; PENALTY AMOUNT \$250,000.
BEAR, STEARNS & CO., INC.	86-28	CFTC	7/25/86		166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$80,000.
BEAR, STEARNS AND COMPANY	80-31	CFTC	3/14/83	4b 4b(D) 4c(a) 4g	1.35 1.37 1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$80,000.
BEARD, BARRY W.	81-2250-W	WD TN	5/6/86	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
BEARE, BRUCE R.	89-5363	CD CA	3/5/91	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
BEARE, BRUCE R.	91-5	CFTC	3/5/91	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATIN REVOKED AS AP.
BEARE, DAVID C.	89-5363	CD CA	3/5/91	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
BEARE, DAVID C.	91-5	CFTC	3/5/91	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP.
BECHAM, GLENN L.	85-3	CFTC	7/3/85	4o(1) 4n(3)(A)	4.24 4.23(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(4)	4.22(b) 4.21(b)		SUSPENDED 12 MONTHS.
BECK, LAWRENCE A.	90-14	CFTC	3/12/91	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 4 MONTHS; REGISTRATION REVOKED AS FB; SHALL NOT APPLY FOR REGISTRATION WITH COMMISSION FOR 6 YEARS; MUST LIQUIDATE POSITIONS FOR 4 MONTHS.
BECKWITH, RICHARD	SD 93-9	CFTC	7/16/93				CONDITIONAL FB REGISTRATION GRANTED; CONDITIONS IN EFFECT FOR 2 YEARS.
BEDERSON, EDWIN	79-4867	SD NY	9/29/79	4c(b) 4c(c)		PERMANENT INJUNCTION	
BEDERSON, EDWIN	80-0689	SD NY	7/15/81	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
BEHAM, PHILIP L.	81-7	CFTC	2/9/81	4k(1)			CEASE & DESIST ORDER; PENALTY AMOUNT \$1,500.
BELIDA, CHARLES	78-6508	SD FL	6/28/79				ORDER.
BELL EGG FARMS, INC.	75-13	CFTC	8/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 1-2 MONTHS.
BELL, CRAIG H.	90-29	CFTC	5/30/91	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.31(a)(1) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$115,000; TRADING PRIVILEGES SUSPENDED FOR 12 MONTHS; REGISTRATION REVOKED AS FB; SHALL NEVER APPLY FOR REGISTRATION; SHALL NEVER APPEAR ON ANY TRADING FLOOR; MUST LIQUIDATE ALL EXISTING FUTURES POSITIONS.
BELL, NORMAN	75-13	CFTC	8/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 1-2 MONTHS.
BELL, PAUL RICHARD	89-4	CFTC	9/15/95	4b(A)			CEASE & DESIST ORDER; PENALTY AMOUNT \$100,000; REGISTRATION REVOKED AS AP; AFFIRMED (11 TH CIR.).
BELL, RICHARD CONROY	93-C1022E	ND OK	12/11/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)(A)	4.21 4.22	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				9a(1) 4o(1)(B) 4n(3)(A)			SEEKING REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
BELLMAN, LEON	79-3558	SD FL	2/5/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	SHALL PAY \$1,000 TO RECEIVER.
BELLMAN, LEON	SD 82-1	CFTC	12/8/81				REGISTRATION AS AP DENIED.
BELLO, ANDREW JR.	91-22	CFTC	6/30/92	4b(A) 4b(B) 4k(2) 4n(3) 4n(4) 4o(1)	4.21(a) 4.22(a) 4.23(a)		CEASE & DESIST ORDER; REGISTRATION REVOKED AS AP; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT ENGAGE IN ACITVITIES REQUIRING REGISTRATION; MUST MAKE RESTITUTION WITHIN TWO YEARS TO ALL CHAMPION FUTURES FUND INVESTORS.
BELPEDIO, LOUIS RAYMOND	SD 95-8	CFTC	1/17/95				CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
BELZ, RICHARD G.	3:99-CV-378	ED TN	9/3/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 1.31 4.21 4.22 4.23 4.24 4.25 4.26	PERMANENT INJUNCTION	DISGORGEMENT OF \$596,581 PLUS POST JUDGMENT INTEREST JOINTLY & SEVERALLY OWED; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
BEMILLER, BART	3:98CV0281AS	ND IND.	07/21/98	4b(a)(i) 4o(1) 4m(1)	4.20 4.21	PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
BEMILLER, BART	3:98CV0281AS	N.D. IND.	1/12/00	4b(a)(i) 4m(1) 4o(1)	4.20(a)(1) 4.20(c) 4.21 4.24	PERMANENT INJUNCTION	DISGORGEMENT OF \$69,722; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY OWE RESTITUTION OF \$606,830 PLUS PRE-JUDGEMENT INTEREST OF \$53,327 W/ CO-DEFENDANT HUDKINS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
BENGAL TRADING	80-6563	SD FL	02/09/81	4d(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	

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CORPORATION				4f(2)			
BENGSON, TIMOTHY M.	00-21	CFTC	6/27/00	4b(a)(i) 4b(a)(iii)		COMPLAINT FILED	
BENJAMIN, MAURICE	80-3952	SD NY	12/23/80	4d(2) 4f(1) 4f(2) 4k 4b	1.10(a) 1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS
BENJAMIN, MAURICE	82-23	CFTC	2/23/84	6(b) 4f(1) 4k(1)	1.10(a)(1)		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$4,000; TRADING PRIVILEGES REVOKED.
BENNETT, RICHARD W.	78-48	CFTC	1/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$6,000; REGISTRATION REVOKED AS AP.
BENSON-QUINN COMMODITIES INC.	SD-97-6	CFTC	5/16/97	8a(3)(N) 8a(3)(4)			ALL EMPLOYEES OR ASSOCIATES OF BQCI OR ADM ARE RESTRICTED FROM ALL ACTIVITIES; SHALL APPOINT OFFICER, DEPARTMENT HEAD OR OTHER EMPLOYEE; DESIGNATED EMPLOYEE SHALL MAINTAIN RECORDS; PROVIDE COMM'N WITH A COPY OF ANY WRITTEN NOTICES; DISTRIBUTE A COPY OF THE ORDER OF THE COMM'N; RESTRICTIONS TO REMAIN IN EFFECT FOR 4 YEARS.
BENTLEY, DAVID	82-6	CFTC	05/22/85	4o(1)	1.14		CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP CTA CPO.
BENTLEY, DAVID L.	82-6108	SD FL	01/07/83 06/09/84	4 4h 4n(3)(A) 4o(1)	4.32	PERMANENT INJUNCTION	DISGORGEMENT; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; CONVICTED OF CRIM. CONTEMPT
BENTLY, DAVID L.	84-6401NCR	SD FL	04/09/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS.
BENUN, MORRIS J.	99-CIV-4822	SD NY	07/19/99	4b(a)(i) 4b(a)(ii) 4o(1)(A) 4o(1)(B)	1.31 4.20(c) 4.23	PERMANENT INJUNCTION JUDGMENT	TRADING PROHIBITION; NEVER TO APPLY FOR REGISTRATION REG: OR ACT IN ANY CAPACITY REQUIRING

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				4n(3) 9(a)(1)			REGISTRATION RESTITUTION OF \$996,985; DISGORGEMENT OF \$49,531; CIVIL MONETARY PENALTY NOT ORDERED BASED ON SWORN FINANCIAL STATEMENT.
BERG, HOWARD G.	88-32	CFTC	9/30/88		166.3		CEASE & DESIST ORDER; PENALTY AMOUNT.: \$15,000.
BERG, LAWRENCE M.	89-29	CFTC	9/29/89	4a(2)(B)	150.2		CEASE & DESIST ORDER; PENALTY AMOUNT.: \$30,000.
BERGAMO, GARY R.	92-19	CFTC	11/20/95	4b(A) 4b(B) 4b(C) 4b(D) 4(c)(A) 4(c)(B) 4g	1.38(a) 1.31(a) 1.35(a)		PEN. AMNT.: \$150,000; TRADING PRIVILEGES SUSPENDED 60 MO.; REGISTRATION REVOKED AS FB; APPEALED.
BERGAMO, GARY RALPH	83-27	CFTC	4/12/84	4e			CEASE & DESIST ORDER; PENALTY AMOUNT.: \$10,000.
BERGEN, RAY A.	87-1	CFTC	11/7/86	4c(a)(A)	1.38		CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS
BERGSTROM, CHARLES W.	89-27	CFTC	1/16/92	4c(a)(A) 4c(a)(B)	1.38		CEASE AND DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; MUST LIQUIDATE POSITIONS PRIOR TO COMMENCEMENT OF BAN
BERGSTROM, CHARLES W.	SD-93-15	CFTC	5/11/94				FT DENIED.
BERMAN, HAROLD	76-20	CFTC	9/29/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; TO WITHDRAW CTA REGISTRATION APPLICATION.
BERMAN, HERMAN	76-2095R	CD CA	7/30/76	4b 4c		PERMANENT INJUNCTION	
BERMAN, MELVIN	76-20	CFTC	9/29/76	4(b)			TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA.
BERMAN, MELVIN	76-2095R	CD CA	7/30/76	4b 4c		PERMANENT INJUNCTION	
BERMONT, RICHARD	88-10	CFTC	11/22/89		166.3		CEASE & DESIST ORDER.
BERNTH, DOUGLAS ERIK	88-8130	SD FL	6/17/88	4b 4b(A) 4b(B) 4b(C) 9(a) 4d(1) 4k(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS

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BERRY, FELIX A.	SD-99-6	CFTC	6/2/99	8a(2)(E)			REG. REVOKED AS AP; RESPONDENT SHALL NEVER REAPPLY FOR REGISTRATION IN ANY CAPACITY UNDER THE ACT AND NEVER ACT IN A CAPACITY REQUIRING REGISTRATION.
BERTUCCI, JOSEPH MICHAEL	83-50	CFTC	8/4/83	4e			CEASE & DESIST ORDER; PEN. AMNT.; \$10,000.
BERUS, GARY	96-74525	ED MI	5/20/98	4b(a)(i) 4b(a)(ii) 4m(1) 4m 4k(2) 4o(1)(B) 9(a)(1) 4n(4)	4.21(a) 4.21(b) 4.22 4.20(c)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE ACT AND ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT.
BERZINS, PETER	3:99CV592	E.D. VA.	1/18/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4m(1) 4n(4) 4o(1)(A) 4o(1)(B)	33.10 4.20 4.21 4.22(a)	PERMANENT INJUNCTION	TRADING PROHIBITION; RESTITUTION OF \$1,424,456 PLUS PRE-JUDGEMENT INTEREST; SHALL NOT SEEK REGISTRATION W/ COMMISSION; MAY REAPPLY TO COURT TO RESTORE TRADING PRIVILEGES AFTER 10 YEARS.
BESNER, ROBERT A.	96-C-0076		10/03/96	4b(a)(i) 4b(a)(ii) 4o(1) 9(a)(1)	4.30	PERMANENT INJUNCTION	DISGORGEMENT; ENJOINED FROM SOLICITING; PROHIBITED FROM ANY ACTIVITY RELATED TO COMMODITY TRADING; PAY CMP NOT TO EXCEED 100,000 AND PAY RESTITUTION.
BEVILL BRESLER & SCHULMAN SECURITIES, INC.	SD-85-10	CFTC	6/19/85				REG. REVOKED AS FCM
BFC COMMODITIES, INC.	SD-99-6	CFTC	6/02/99	8a(2)(E) 8a(2)(H)			CEASE AND DESIST ORDER; REG. REVOKED AS CPO; REG. REVOKED AS CTA & IB; RESPONDENTS SHALL NEVER REAPPLY FOR REGISTRATION IN ANY CAPACITY UNDER THE ACT AND NEVER ACT IN A CAPACITY REQUIRING REGISTRATION
BIELFELDT & CO.	96-1	CFTC	02/12/99	4g(a) 6(c)	17.00(b) 17.01(b)(7)		CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; APPEALED.
BIELFELDT, CARLOTTA	96-1	CFTC	02/12/99	4(i) 6(c)	18.04(a)(6)		CEASE AND DESIST ORDER; APPEALED.
BIELFELDT, GARY K.	96-1	CFTC	02/12/99	4a(a)	17.00(b)		CEASE AND DESIST ORDER;

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				4a(b) 4g(a) 6(c)	17.01(b)(7) 18.04(a)(5) 18.04(d) 150.2		PEN. AMNT.: \$100,000; APPEALED.
BIG RED COMMODITY CORPORATION	78-0122	WD MO	02/15/79	4o	1.33 1.33(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS
BIG RED COMMODITY CORPORATION	80-21	CFTC	02/23/82	4b 4o			CEASE AND DESIST ORDER; REG. REVOKED AS CPO
BIGHAM, ROBERT W. JR.	87-19	CFTC	03/13/95				PEN. AMNT.: \$100
BILAL, MUHAMMAD	79-1580	ED NY	07/13/81	4c(b) 4c(c) 4d(2) 4f(2)	32.11 1.17(a) 1.20(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS
BILELLO, LAWRENCE J.	93-5	CFTC	06/26/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE AND DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; BILELLO SHALL NEVER APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
BILLFUND, INC.	00-25	CFTC	7/17/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4n(4)	4.20 4.21 4.22	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; SHALL COMPLY WITH UNDERTAKINGS, INCLUDING NEVER APPLY FOR REGISTRATION W/ COMMISSION.
BILLINGS, WILLIAM G.	00-25	CFTC	7/17/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4n(4)	4.20 4.21 4.22	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; CONTINGENT CIVIL MONETARY PENALTY OF \$400,000; SHALL COMPLY WITH UNDERTAKINGS, INCLUDING NEVER APPLY FOR REGISTRATION W/ COMMISSION.
BIRMA, LTD.	2:00CV00622ST	D. UT	9/25/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.20(a) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING MADE.
BIRMINGHAM, WILLIAM M.	87-16	CFTC	09/22/87	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION FOR 6 MONTHS
BLANCO, FRANK	85-6705	SD FL	09/30/85	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(C)			
BLANKENSHIP, LARRY J.	78-10	CFTC	01/27/81	4(c) 4b(B)			CEASE AND DESIST ORDER; SUSP. AS FB 1 MO. OR LESS
BLANKOPH, ROBERT	80-29	CFTC	11/05/87	4c(a) 4b	1.38		CEASE AND DESIST ORDER PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
BLESS, JACK	79-17	CFTC	03/12/79				REG. DENIED AS AP
BLEVINS, JAY	94-661-CIV	MD FL	07/08/96	4b(a)(i) 4o1 4k(2)		ORDER	DISGORGEMENT; AMENDED COMPLAINT; 7/3/95; DISGORGEMENT OF 315,859.00 PLUS INTEREST OF 61,757.51 BY ORDER DATED 8/22/96
BLITZ, DENNIS	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
BLOCH, HARVEY M.	83-18	CFTC	06/20/89	4b(A) 4o(1)	4.21(a) 4.21(d)		CEASE AND DESIST ORDER; NOT TO APPLY FOR REGISTRATION; NOT TO TRADE FOR OTHERS; NOT TO TRADE FOR SELF FOR 10 YEARS; NOT TO RECEIVE COMPENSATION FROM A REGISTRANT
BLUE CHIP INFORMATION CORP.	3:99-CV-378	ED TN	09/03/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 1.31 4.21 4.22 4.23 4.24 4.25 4.26	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$596,581; PLUS POST JUDGMENT INTEREST JOINTLY & SEVERALLY OWED; MAY NOT APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
BLUMENREICH, WILLIAM D.	89-28	CFTC	09/29/89	4b			CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; NEVER TO SEEK REGISTRATION OR ACT IN THE CAPACITY OF A REGISTRANT
BLUMERT, JEFFREY S.	SD-96-4	CFTC	03/07/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS AS SET FORTH IN THE ORDER.
BLUMEYER-LECKAR, NANCY J.	83-1	CFTC	06/08/83	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BOARD OF TRADE OF CITY OF CHICAGO	93-17	CFTC	04/18/94	5a(a)(8) 5a(a)(9)	1.12(e) 1.51 1.52		PEN. AMNT.: \$300,000; COMPLY WITH AGREED UNDERTAKINGS
BOBO, ROBERT G.	C2-94-981	SD OH	11/19/97	4b(a)(i) 4b(a)(ii) 4o(1) 4n(3)(A) 4m(1) 4k(2)	4.20(c) 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS
BOLT, JAMES W.	88-12	CFTC	03/11/88	4b(A) 4o(1) 4m(1)	4.21(a)		TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION
BONE, ROBERT	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE AND DESIST ORDER; PROHIBITED FROM ALL TRADING FOR 30 DAYS AND TRADING FOR HIS OWN ACCOUNT FOR 11 MONTHS.
BONE, ROBERT L.	80-14	CFTC	11/02/81	8b			CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 36 MO.; SUSP. AS AP 12 MO.
BONNEY, JAMES F.	98C0087C	W.D. WISC.	10/22/99			SUPPLEMENTAL CONSENT ORDER	RESTITUTION OF \$315,101 PLUS PRE-JUDGEMENT INTEREST OF \$30,242 AND POST JUDGEMENT INTEREST.
BORDERS, ROBERT IV.	80-32	CFTC	12/02/85	4c(a)	1.38		CEASE AND DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 60 MO.
BOROSAK, DAVID G.	89-9	CFTC	11/28/89	4b			CEASE AND DESIST ORDER; PEN. AMNT.: \$2,500; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP & IB
BOSTON FINANCIAL GROUP, INC.	85-21	CFTC	09/18/85	4d(1)			CEASE AND DESIST ORDER; PEN. AMNT.: \$40,000
BOSTON TRADING GROUP, INC.	81-1809	D MA	07/17/81	4b(A) 4o(1)	4.22(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	TO SERVE ORDER ON ALL SALES STAFF
BOSTON TRADING GROUP, INC.	81-22	CFTC	07/15/81	4b(A) 4o(1)	4.21(a) 4.21(b) 4.22(c)		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000
BOSTON TRADING GROUP, INC.	82-0305	D MA	05/21/85	4o(1) 4b(A)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED
BOWEN, WILL STEEL	3-93-0975	MD TN	04/12/95	4b(a)(i) 4o(1) 9(a)(1)		PERMANENT INJUNCTION	SHALL NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4m(1)			COMPLY WITH SEVERAL UNDERTAKINGS AS SET FORTH IN ORDER
BOWMAN, EARL LEON	H-90-559	SD TX	01/22/93	4b(A) 4o(1) 4n(4) 4n(3) 9(a)	4.22 4.20(c) 4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; NOT ACT AS FCM, IB, FB, CTA, CPO, OR AP
BRADSHAW, JAMES WILLIAM	98-6	CFTC	05/27/99	4b(a)(i) 4o(1)(A) 4o(1)(B) 4n(3)(A)	4.35 4.33 4.36 1.31		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA
BRADY, MICHAEL P.	86-36	CFTC	01/19/89	4b(A)	30.02		CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 6 MO.
BRADY, RICK	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE AND DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS FB 1 MO. OR LESS
BRANCH, DAVID CLINTON	92-8529	SD FL	10/26/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	DISGORGEMENT \$25,000; PETER HORNIK APPOINTED ESCROW AGENT
BRANCH, DAVID CLINTON	94-5	CFTC	11/03/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE AND DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; NEVER BE ASSOCIATED WITH OR RECEIVE COMPENSATION FROM ANY REGISTRANT; COOPERATE WITH COMMISSION
BRANDENBURG, GREGORY J.	84-3	CFTC	07/02/84	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP
BRANDENBURG, VERNON H.	84-3	CFTC	07/02/84	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 36 MO.
BRANDON, MARVIN D.	86-4792WDK	CD CA	01/08/87	4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON APPEAL TO 9TH CIR. 8/3/88
BRANDVOLD, LOYD T.	76-12	CFTC	03/11/76				REG. REVOKED AS CTA; REG. DENIED AS AP
BRANIFF, THOMAS M.	89-12	CFTC	08/02/89	4b(A)	1.38(a)		CEASE AND DESIST ORDER;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(D) 4c(a)(A)			TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; AT EXPIRATION OF TRADING SUSPENSION, MAY NOT TRADE FOR OTHERS AND MAY NOT EXECUTE TRADES FOR HIMSELF NEVER TO APPLY FOR REGISTRATION NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS TO MAKE FULL RESTITUTION TO CUSTOMERS
BRATMAN, FRANK	84-243PHX	D AZ	09/24/86	19		PERMANENT INJUNCTION	DISGORGEMENT; PROTECTIVE BOOKS & RECORDS; TRADE FOR LIQUIDATION ONLY; RECEIVER APPOINTED; ACCOUNTING ORDERED; ENJOINED FROM VIOLATIONS OF ARIZONA CONSUMER FRAUD ACT; TO PAY \$10,000 TO THE STATE OF ARIZONA FOR COSTS, \$3,750,000 FOR PENALTIES, AND \$6,992,750 JOINTLY FOR RETURN TO CUSTOMERS
BRAVERMAN, DONALD J.	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED
BRAZIER CORPORATION, INC.	84-2066-ER	CD CA	08/28/86	19(b) 19(c) 4(a) 4b(a) 4b(c) 4o(1) 4o(2)	31.1 31.2 31.03	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING THE CALIFORNIA BUSINESS AND PROFESSIONS CODE
BRECKENRIDGE FINANCIAL GROUP, INC.	H-90-559	SD TX	01/22/93	4b(A) 4o(1) 4n(4) 4n(3)	4.22 4.20(c) 4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; RECEIVERSHIP TERMINATED
BREECKER, HARRY	75-12	CFTC	12/30/75	4b(B) 4b(c) 4b(D) 4d	1.20 1.7		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
BRENNAN, TIMOTHY R.	80-26	CFTC	06/27/80	4e			CEASE AND DESIST ORDER; PEN. AMNT.: \$1,000
BRENNER, JAMI WEISNER	00-08	CFTC	3/30/00	8b		COMPLAINT FILED	
BRENNER, STEVEN C.	90-7	CFTC	08/16/90	14(f)	12.407(c)		CEASE AND DESIST ORDER; PEN. AMNT.: \$10,000; TRAD.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PRIV. SUSP. 120 MO.; MOTION TO FILE NOTICE OF APPEAL DENIED AS UNTIMELY
BRENNER, STEVEN C.	92-4350	ND IL	07/06/92	14(f) 6(b) 8b 6(c)	12.407(c)	PERMANENT INJUNCTION	
BRENNER, STEVEN C.	00-08	CFTC	3/30/00	8b		COMPLAINT FILED	
BRIEN SULLIVAN CAPITAL MANAGEMENT, LAVA TR	97-01478ACK	D HA	01/16/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a) 4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED
BRINKS, HANS J.	94-14	CFTC	07/19/99				COMMISSION AFFIRMS THE ALJ'S 8/24/98 INITIAL DECISION IN ALL RESPECTS; TRADING PROHIBITIONS, REGISTRATION REVOCATIONS AND CIVIL MONETARY PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM DATE ORDER IS SERVED.
BRITISH AMERICAN COMMODITY OPTIONS CORP.	76-15	CFTC	12/02/77	4c(b) 4m	32.3(a) 32.3(b)(1) 32.7(e) 32.9		CEASE AND DESIST ORDER; REG. DENIED AS FCM CTA
BRITISH AMERICAN COMMODITY OPTIONS CORP.	76-3247CBM	SD NY	12/19/78	4m		PERMANENT INJUNCTION	
BRITISH AMERICAN COMMODITY OPTIONS CORP.	77-3	CFTC	01/14/77				CONSOLIDATED WITH DOCKET 76-15
BRITISH AMERICAN COMMODITY OPTIONS CORP.	77-1822LPG	SD NY	12/12/78	4c(b)	32.3(a) 32.3(b) 32.9	PERMANENT INJUNCTION	RECEIVER APPOINTED
BROCK INTERNATIONAL, INC.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION
BROCK RESOURCES, INC.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AND TEXAS LAWS ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION
BROCKBANK, STEPHEN W.	2:00CV00622ST	D. UT	9/25/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.20(a) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING MADE.
BRODY, ROBERT JAY	83-9	CFTC	05/20/86	4e			PEN. AMNT.: \$2,500
BRODY, WHITE & COMPANY, INC.	85-2	CFTC	12/26/84	4d(1)			CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000
BRONSTEIN, JACK	79-27	CFTC	01/18/80	4b(D) 4g	1.38 1.39 1.35		CEASE AND DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 12 MO.; SUSP. AS FB 12 MO.
BROOKS, NORMAN L.	92-12258	D MA	03/23/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; 75,000 JOINTLY LIABLE; ALL CONTRACTS RESCINDED; MICHAEL UNGER SPECIAL MASTER ON JUNE 30, 1993
BROWER, GEORGE	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02		CEASE AND DESIST ORDER; PEN. AMNT.: \$2,500; SUSP. AS AP 1 MO. OR LESS
BROWN, J. SPENCER	96-8	CFTC	09/03/96	4m(1)	4.31 4.36(d) 4.41(b)		CEASE AND DESIST ORDER
BROWN, NORMAN	78-29	09/14/78	6(b)				CEASE AND DESIST ORDER; REG. DENIED AS AP
BROWLOW, RONALD L.	85-9-SD	CFTC	10/29/85				REG. DENIED AS CTA; AFFIRMED ON APPEAL TO 10TH CIR 04/23/87
BRUBAKER, BRETT G.	98-7	CFTC	02/03/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	1.31 4.22(a) 4.22(b) 4.22(c) 4.22(d) 4.23		CEASE AND DESIST ORDER; TRADING PRIVILEGES SUSPENDED PERMANENTLY; RESTITUTION OF \$3.5 MILLION JOINTLY & SEVERALLY OWED; NEVER APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY.
BRUCKMANN, KURT	93-6-SD	CFTC	05/04/93	8a(3)(M)			CEASE AND DESIST ORDER; FB REGISTRATION SUBJECT TO CONDITIONS
BRUGGEMANN ENERGY FUTURES, INC.	85-33	CFTC	03/04/86	4f(1)	21.02		CEASE AND DESIST ORDER; PEN. AMNT.: \$2,500
BRUNO, JOSEPH J.	91-20	CFTC	03/31/92	4c(b)	33.10		CEASE AND DESIST ORDER; PEN. AMNT.: \$12,500; REG. REVOKED AS APNEVER TO

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPLY FOR REGISTRATION IN ANY CAPACITY, NOR ENGAGE IN ANY ACTIVITIES REQUIRING REGISTRATION
BRYANT, RICHARD C.	88-105-W	SD IA	02/06/92	4b(A) 4b(C) 9(a) 4d(1) 4d(2) 4m 4o(1) 4n(4)	1.20(a) 4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADE FOR LIQUIDATION ONLY; RECEIVER APPOINTED; PERMANENTLY ENJOINED FROM ACTING AS AN IB, FB, FCM, CTA, CPO OR AN AP
BT SECURITIES CORPORATION	95-3	CFTC	12/22/94	4o(1)(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$10,000,000; PAYMENT OF THE CIVIL MONETARY PENALTY ALSO SETTLES RELATED SEC PROCEEDING; BT MUST COMPLY WITH UNDERTAKINGS SET FORTH IN COMMISSION'S ORDER
BUCCELLATO, RICHARD	80-28	CFTC	03/27/86	4c(a)			CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 6 MO.; APPEALED; APPEAL WITHDRAWN 12/2/86
BUCCELLATO, V.	80-28	CFTC	03/27/86	4c(a)			CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; APPEALED; APPEAL WITHDRAWN 12/2/86
BUCHBINDER, SAM	85-14-SD	CFTC	11/19/85				REG. REVOKED AS AP
BUCK, RAYMOND S.	75-1	CFTC	02/09/76	4g(1) 4i	18.00		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; SUSTAINED ON APPEAL TO 7TH CIR.
BUCKEYE COUNTRYMARK INC.	97-2	CFTC	06/30/97	4(a) 4c(b) 4m(1)			AMENDED COMPLAINT FILED.
BUCKWALTER, STANLEY	80-28	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4g 4b	1.38(a) 1.35 1.37		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION FOR 5 YEARS; MUST DISMISS APPEAL TO 2nd

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CIRCUIT
BUDICAK, LISA	99-17	CFTC	09/30/99	1.35(a-1)(1) 1.35(a-1)(2)			COMPLAINT FILED
BUDICAK, LISA	99-17	CFTC	9/26/00	4g	1.35(a-1)(1) 1.35(a-1)(2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000; REGISTRATION, IF ANY, SHALL BE CONDITIONED FOR 4 YEARS; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR 3 YEARS SHALL NOT SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGULATION BY THE COMMISSION.
BUELL, CHARLES L.	84-243PHX	D AZ	01/05/85		31.1 31.2	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; TO PAY TO ARIZONA ATTY. GENERAL \$250 COSTS AND \$1500 CIVIL PENALTY, \$2,153.85 PUNISHMENT
BUFKIN, BRADFORD KENT	79-28	CFTC	02/04/81	4c(b)	32.9		CEASE AND DESIST ORDER
BULL & BEARS, LTD.	CIV-PJM-98-3316	D MD	10/26/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED
BULLSEYE INTERNATIONAL, INC.	95-6970	SD FL	11/05/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
BUMGARNER, NORA JO	85-6	CFTC	01/03/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE AND DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS
BUNN, ROBERT J.	80-15	CFTC	08/07/81	4k 4f(1)	1.14(a) 1.14(d)		CEASE AND DESIST ORDER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BURKE, DANIEL G.	SD-94-6	CFTC	03/24/94				CONDITIONALLY REGISTRATION AS FB GRANTED; CONDITIONS TO REMAIN IN EFFECT 2YRS
BURKE, MICHAEL	79-828	D AZ	05/18/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS
BURKETT, HUGH ALAN	87-N-370WW	ED CT	04/07/89	4b(A) 4m(1) 4o(1) 9(a)	3.4 4.20(a) 4.20(b) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; TRADE FOR LIQUIDATION ONLY; ALSO PERMANENTLY ENJOINED FROM VIOLATING THE CONNECTICUT UNIFORM SECURITIES ACT NOT TO ENGAGE IN ANY BUSINESS REQUIRING REGISTRATION WITH THE COMMISSION OR THE CONN. DEPT OF BANKING
BURNAZOS, ROBERT E.	81-1809	D MA	07/17/81	4b(A) 4o(1)	4.22(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	TO SERVE ORDER ON ALL SALES STAFF.
BURNAZOS, ROBERT E.	81-22	CFTC	07/15/81	4b(A) 4o(1)	4.21(a) 4.21(b) 4.22(c)		CEASE AND DESIST ORDER
BURNETT, GREG	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3		COMPLAINT FILED
BURNSIDE, ROBERT	78-1604CSH	SD NY	05/06/83	4c(b) 4d(2)	32.6(a) 32.9		UNDERTAKING NOT TO VIOLATE SECTIONS 4c(b), 4d(2) OF ACT AND 32.6(a), 32.9 OF REGS.
BURROW, JAMES L.	80-10	CFTC	11/12/81	4b(A) 4b(C) 4k(2)	166.2 1.14(a)(3)		CEASE AND DESIST ORDER; REG. REVOKED AS AP FB
BUSACCA, SALVATORE	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE AND DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1 MO. OR LESS
BUSCH, ROBERT E.	CV-98-N-1755-S	N.D. ALA.	8/8/00			ORDER	FINAL JUDGMENT ENTERED AGAINST DR. RICHARD E. BUSCH REQUIRING HIM TO PAY RESTITUTION & CIVIL MONETARY PENALTY OF OVER \$45 MILLION; BUSCH HAS APPEALED THE ORDER TO THE U.S. COURT OF APPEALS FOR THE ELEVENTH CIRCUIT.
BUSH, BAKER HOSKINS	SD-82-2	CFTC	03/18/82				REG. DENIED AS AP

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BUSHMAN, BERNARD	78-1069	SD FL	10/26/81	4c(b) 4o(1)	32.5(a) 32.8 32.9 30.01(c)	PERMANENT INJUNCTION	
BUTERIN, JOHN J.	80-2019	D KS	07/26/84	4m 4n(3)(A) 4o	1.31 4.23	PERMANENT INJUNCTION	
BUTLER, CURTIS	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED
BUTLER, THEODORE	88-10	CFTC	05/04/93	4i 6(b) 4g	18.01(a) 18.04(a) 1.31(a) 1.35(a) 1.35(a-1)(1) 166.2		CEASE AND DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 6 MO.
BYRD, TINA	98-CIV-1682	SD NY					
C.O.M. CONSULTANTS D/B/A GOLDEN STATE BULL	97-4443	CAL	07/23/97	4b(a)(2)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; TRADING PROHIBITION
CAAN, GLENN W.	86-21	CFTC	11/10/87	4b(A) 4b(B) 4n(3)(A) 6(b)	1.31(a)(2)		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 180 MO.; NOT TO APPLY FOR REGISTRATION FOR 15 YEARS; ALSO PROHIBITED FOR 15 YEARS FROM (1) DIRECTING ANY FUTURES OR OPTIONS TRADING (2) ENGAGING IN BUSINESS OF ADVISING OTHERS AS TO SUCH TRADING (3) SOLICITING OR ACCEPTING FUNDS FOR SUCH TRADING
CACERES, RICARDO FALLA	79-34	CFTC	10/26/83	6(b) 6(c) 9(b) 4c(a)			CEASE AND DESIST ORDER; PEN. AMNT.: \$200,000; TRADING PRIVILEGES REVOKED
CAFFERKY, ANDREW E.	3:99-CV-378	ED TN	09/03/99	4b(a)(i) 4b(a)(ii)	3.12(a) 1.31	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iii) 4k(2) 4m(1) 4n(4) 4o(1)	4.21 4.22 4.23 4.24 4.25 4.26		RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$596,581 PLUS POST JUDGMENT INTEREST JOINTLY & SEVERALLY OWED. MAY NOT APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION
CAHN, ROBERT L.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; TO PAY \$5,000 TO RECEIVER
CAL. COMMODITIES FUTURES INT'L	94-7910	CD CA	08/21/95	4b(a) 4n(3)(A) 4o(1)(A) 4o(1)(B)	1.31 4.20(b) 4.20(c) 4.23 4.32	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; \$151,000.00 JOINTLY WITH WILLIAM ZEITLIN
CALCATERRA, SALVATORE	90-1	CFTC	09/25/90	4c(a)(A) 4g	1.31(a)(1) 1.35(a) 1.35(a-1)(2)		CEASE AND DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS FB 1 MO. OR LESS
CALHOUN, KENT C.	SA99CA0684	WD TX	08/06/99	4b(a)(i) 4o(1)	4.16 4.41(a)	PRELIMINARY INJUNCTION	PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; RESTRAINED, ENJOINED AND PROHIBITED FROM DIRECTLY OR INDIRECTLY REFERENCING THE CFTC OR OTHERWISE USING COMMISSION NAME IN THE SOLICITATION OF CUSTOMERS OR POTENTIAL CUSTOMERS, REGARDLESS OF THE FORM OF SOLICITATION.
CALHOUN, KENT C. individually, as an agent of or d/b/a KCI	SA 99 CA 0684	W.D. TX.	7/27/00	4b(a)(i) 4o(1)	4.16 4.41(a)	PERMANENT INJUNCTION	ENJOINED FROM REFERENCING THE CFTC OR OTHERWISE USING THE COMMISSION'S NAME IN THE SOLICITATION OF CUSTOMERS OR POTENTIAL CUSTOMERS; CIVIL MONETARY PENALTY OF \$25,000; MUST PUBLISH RETRACTIONS IN THE MEDIA.
CALI, SAM	92-2	CFTC	08/13/93	4b(A) 4b(B)	1.38(a)		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; INITIAL DECISION SUMMARILY AFFIRMED
CALIGARIS, DAVID P.	88-1569	D CO	09/28/88	4(a) 4d(1)		PERMANENT INJUNCTION	
CALLAHAN, DONALD E.	90-3	CFTC	12/19/89	4b(A) 4b(B)	1.38(a)		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG:

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(A)			REG. REVOKED AS FB; TO MAKE RESTITUTION TO CUSTOMERS NOT TO SEEK REGISTRATION, LEASE OR PURCHASE EXCHANGE MEMBERSHIP OR APPEAR ON TRADING FLOOR DURING TRADING HOURS
CALO, MICHAEL d/b/a FIRST FINANCIAL TRADING	00-17	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
CAMERON, WILLIAM J.	80-29	CFTC	01/21/87	4b 4c(a)	1.38		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO APPLY FOR REGISTRATION FOR 6 MONTHS
CAMPBELL, JAMES S.	88-24	CFTC	11/30/89	4b(A) 4b(B) 4b(C) 4o(1) 4d(1) 4d(2) 9(a)	1.20		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 240 MO.; PROHIBITED FOR LIFE FROM REGISTERING WITH THE COMMISSION IN ANY CAPACITY
CAMPBELL, R. DAVID	99-11	CFTC	05/20/99	6(c) 6(d) 9(a)(2)		COMPLAINT FILED	
CAMUS, LOUIS A.	4-95-CV-35	SD MN	05/14/96	4b(a)(i) 4o 4m(1)	4.13(b)(1) 4.20(c)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; MAKE RESTITUTION OF 233,309.91; PAY CIVIL MONETARY PENALTY OF 100,000 ONCE RESTITUTION HAS BEEN MADE IN FULL; ALL CONTRACTS RESCINDED
CA-NI INDUSTRIES, LTD.	99-C-6425	ND IL	12/27/99	4b(a)(i) 4b(a)(iii) 4o(1)	4.41 4.41(b)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS
CA-NI INDUSTRIES, LTD.	99-C-6425	N.D. IL	12/27/99	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; FREEZE ASSETS; REMOVE ALL MISLEADING INFORMATION FROM WEBSITE.
CANION BOEKE COMPANY, LTD.	90-1	CFTC	05/04/90	4c(a)(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 24 MO.
CANTILLANO, EDWIN DE JESUS	94-15	CFTC	01/09/95	4(b)(a)(i) 4(d)(1) 9(a)(1)			CEASE AND DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CANTOR FITZGERALD & CO.	94-14	CFTC	01/28/97	4m(1) 4o(1)(B)			CEASE AND DESIST ORDER; PEN. AMNT.: \$500,000; COMPLY WITH UNDERTAKINGS OF THE ORDER.
CANTOR, MELVIN	76-928	SD NY	03/03/76	4c(b)	30.01	PERMANENT INJUNCTION	
CANTOW, CLAIRE	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE AND DESIST ORDER; PEN. AMNT.: \$500
CAO, DOROTHY	94-1162-A	ED VA	05/26/95	4(a) 4d(1) 4b(a) 9(a)(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; \$300,000 MINUS ANY FUNDS PAID BY OTHER DEFENDANTS; COOPERATE WITH COMMISSION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION
CAPITAL CITY CURRENCIES CORPORATION	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED
CAPITAL CREDIT MANAGEMENT & FINANCE, INC.	00-6885	S.D. FL.	9/11/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JUDGEMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT IS ENTERED JOINTLY & SEVERALLY. CFTC SHALL PRESENT PROPOSED ORDER OF JUDGEMENT WITHIN 90 DAYS. PERMANENTLY RESTRAINED & ENJOINED FROM: 1) ACTING IN ANY CAPACITY, INCLUDING IN AN EXEMPT CAPACITY, AS A FCM, CPO, CTA, IB, FB, FT OR AP; 2) SEEKING APPLICATION FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY. GERALD B. WALD SHALL CONTINUE AS PERMANENT RECEIVER.
CAPITAL INSIGHT BROKERAGE, INC.	99-11543	CD CAL.	11/12/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4o(1)	33.10(a) 33.10(b) 33.10(c) 1.35(a-1)(1)	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION JOINT OWED DISGORGEMENT; OF \$6,000,000; SHALL NOT SEEK REGISTRATION WITH

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4g			COMMISSION IN ANY CAPACITY OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
CAPITAL INSIGHT BROKERAGE, INC.	99-11543 WMB	C.D. CAL.	11/12/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4g 4m(1) 4o(1)	33.10(a) 33.10(b) 33.10(c) 1.35(a-1)(1)	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; JOINT OWED DISGORGEMENT W/ S. JAY GOLDINGER OF \$6,000,000; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
CAPITAL INSIGHT BROKERAGE, INC.	SD-00-01	CFTC	2/16/00	8a(2)(C)		COMMISSION ORDER	REGISTRATION AS IB REVOKED; SHALL COMPLY W/ UNDERTAKINGS.
CAPITAL STRATEGIES, INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER.	
CAPRA, DOUGLAS R.	88-9	CFTC	02/11/88	4g	1.35(a-1)(2)		CEASE AND DESIST ORDER; PEN. AMNT.: \$4,000
CARADIMITROPOULO, CONSTANTIN M.	81-2250-W	WD TN	01/30/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
CARDIN, JACKSON	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; SUSP. AS AP 1-2 MO.
CARELLA, BERNARD D.	80-0689	SD NY	03/02/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED
CARGILL, INC.	99-16	CFTC	08/26/99	4c(b) 32.2		COMPLAINT FILED	
CARLES, ALEXIS	97-CIV-1360	ND CAL.	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4k(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ALL DEFENDANTS JOINTLY AND SEVERALLY LIABLE FOR RESTITUTION AND DISGORGEMENT OF \$2,633,130.40 AND A CIVIL MONETARY PENALTY IN THE AMOUNT OF \$320,000.
CARLSON, HARVEY S.	83-45	CFTC	06/13/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CARMEL INTERNATIONAL BUSINESS ASSOCIATION	93-8242	SD FL	01/13/94	4b 9(a) 4d		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SOLICITATION; ACCOUNTING ORDERED; DISGORGE AT LEAST \$560,000 (JOINTLY WITH CEI) PROHIBITED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION; 7/26/94 ORDER OF CONTEMPT.
CARNAGEY, THOMAS V.	82-449E	ND OK	11/04/83	4m 4o(1)	4.13(b) 4.41(a) 4.41(b)	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CARPENTER, MICHAEL R.	86-18	CFTC	02/19/87	4(a)			CEASE & DESIST ORDER; PROHIBITED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION FOR 3 YEARS.
CARR, JAMES A.	77-6	CFTC	07/26/79	4c(b)	32.3 1.18 1.31 32.7		CEASE & DESIST ORDER.
CARR, JAMES A.	77-371T	D MA	01/23/78			RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; PROCEEDINGS STAYED 1/7/82 PENDING CONCLUSION OF BANKRUPTCY PROCEEDINGS.
CARR, JAMES A.	77-550	WD MI	06/14/83	4c(b)	32.9 32.5(a) 32.5(c) 32.5(d)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
CARR, LAWRENCE C.	80-478	D MN	12/02/81	4g(1) 4f(2) 6(b)	1.31 1.17 1.17(a)(3)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; PROTECT & ACCESS BOOKS & RECORDS
CARRETTA, ROBERT F.	78-56	CFTC	02/23/81	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP.
CARRINGTON FINANCIAL CORP.	92-6832	L	09/29/97	4b(a)(i) 4b(a)(iii) 4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
CARTER, JOHN W.	79-13	CFTC	06/26/81	4c(b)	32.9 32.8(a) 32.3(b)(2)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
CARTER, JOHN WILLIAM	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
CARTER, KENNETH L.	93-2	CFTC	05/05/99	4b(A)	1.38(a)		CEASE & DESIST ORDER; PEN.

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				4b(B) 4b(C) 4b(D) 4c(a)(B)			AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
CARTER, NEVILLE	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
CARTER, ROGERS AND WHITEHEAD & COMPANY INC.	79-1580	ED NY	07/13/81	4c(b) 4c(c) 4d(2) 4f(2)	32.11 1.17(a) 1.20(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
CARUSILLO, MICHAEL J.	88-6	CFTC	02/13/90	4c(a)(B)	1.38(a)		PEN. AMNT.: \$8,000.
CARVER, RICHARD L.	79-1085	ND TX	03/19/84	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
CARVER, RICHARD L.	84-38	CFTC	05/14/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
CASEY, PETER WINN	90-24	CFTC	04/30/91	4k(2) 4k(3)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA.
CASSANOS, JAMES	85-3059	SD FL	06/26/86	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ALL CONTRACTS RESCINDED; FULL RESTITUTION ORDERED.
CASSELMAN, WILLIAM	78-8293	SD FL	06/05/79	4b 4o(1) 4d(2) 4f 4g	1.17 1.18(a) 1.18(b) 1.18(c) 1.23 1.32	PERMANENT INJUNCTION	
CASSELMAN, WILLIAM	79-48	CFTC	05/25/79	4b 4d 4f 4g 4o	1.17 1.18(a) 1.23 1.32 1.18(b) 1.18(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED.
CASTALDO, MARIE CROCE	81-24	CFTC	08/07/81	4a(2)(B) 4i 6(b)	150.10 18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
CASTELLANO, ANTHONY	88-1-SD	CFTC	05/29/90				REG. REVOKED AS FB
CASTELLANO, ANTHONY	SD-94-11	CFTC	12/10/96				REG. DENIED AS FB; APPEALED; FT REGISTRATION DENIED.
CASTLE, JOHN K.	77-3864	CD CA	06/26/80	4c(b)		PERMANENT INJUNCTION	
CASTLE, JOHN K.	79-7	CFTC	06/11/80	4c(b)	32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV.

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							SUSP. 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
CATALANO, GERALD	83-2	CFTC	02/10/84		1.16(b)(2) 1.10 1.16 1.16(d)(1) 1.17(c)(2) 1.17(c)(5) 1.16(e)(2)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO PRACTICE BEFORE COMMISSION FOR 5 YEARS.
CATALFO, ANTHONY P.	94-10	CFTC	09/26/94	6(c) 6(d) 9(a)(2)	33.9(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
CATIZONE, RICHARD M.	82-18	CFTC	03/23/83				REG. REVOKED AS AP.
CAYMAN ASSOCIATES, LTD.	79-16	CFTC	04/21/86	4f 4b(A) 4g 4d(1) 4d(2) 4b(B) 4b(C) 4b(D) 4h(2) 4k 4	1.10(b) 1.18(a) 1.10(d) 1.20(a) 1.10(f) 1.35 1.17(a) 1.7 1.38 1.23 1.32		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FCM.
CCFI, INC.	SD-96-2	CFTC	03/01/96	8a(2)(C) 8a(2)(H) 8a(2)(E)			REG. REVOKED AS CPO & CTA.
CEF & CO., INC.	91-7	CFTC	06/25/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.31 1.35 1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
CENTENNIAL MARKETING COMPANY	79-3558	SD FL	03/01/82	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
CENTENNIAL MARKETING COMPANY	82-17	CFTC	03/25/82	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; NOT TO BE EMPLOYED BY OR CONSULT FOR A REGISTRANT.
CENTER MARKETING, INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
CERCONE, LOUIS	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
CERCONE, LOUIS F.	79-43	CFTC	06/10/80	4k			CEASE & DESIST ORDER; REG.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							DENIED AS AP.
CHAMBERLAIN, MARK W.	SD-88-6	CFTC	12/17/90				CONDITIONALLY REGISTERED AS FLLOR BROKER FOR ONE YEAR.
CHAN, ANTHONY	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	
CHAN, BENNY	94-0220-C	ND CA	07/28/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; \$73,809.27 ORDERED BY COURT 5/12/95.
CHAN, KING KEUNG	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
CHAN, RONALD	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
CHAN, RONALD	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
CHARLES-SCOTT AND COMPANY	81-18	CFTC	09/17/82	8a(3)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS CPO; TO WITHDRAW ALL REGISTRATION APPLICATIONS.
CHARLETON, JOSEPHINE	78-48	CFTC	12/15/80	4g(1) 4d(2) 4f(1) 4g	1.37 1.20(a) 1.21 1.22 1.10		CEASE & DESIST ORDER; SUSP. AS AP 6 MO.
CHARRIER, MICHAEL	83-19	CFTC	02/10/84	4b(A) 4n(1) 4n(3)(A) 4n(4) 4o(1)	1.10(c) 1.10(d) 1.14 4.21(a) 4.22(c) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
CHARTERED SYSTEMS CORPORATION OF NEW YORK	79-26	CFTC	01/06/82	4c(b) 4f(1) 4g(1)	32.5 32.9 1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000.
CHARTERED SYSTEMS CORPORATION OF NEW YORK	79-53	CFTC	07/17/79				CONSOLIDATED WITH 79-26.
CHEN, WILLIAM W.	94-1162-A	ED VA	05/26/95	4(a) 4d(1) 4b(a) 9(a)(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; \$300,000 MINUS ANY FUNDS PAID BY OTHER DEFENDANTS; COOPERATE WITH COMMISSION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
CHENG, NAN PING	95-5416	SD NY	02/19/98	4(a) 4b(a)(i)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CIVIL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iv) 4d(1)			MONETARY PENALTY OF \$602,262.57; DISGORGE TO RECEIVER THE AMOUNT OF \$200,759.19; ALL DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION TO TII CUSTOMERS IN THE AMOUNT OF \$893,218.77 WITH INTEREST FROM THE DATE OF THE VIOLATIONS.
CHERVIN, WARREN J.	83-30	CFTC	08/04/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CHESROW, JR., EUGENE J.	96-4	CFTC	04/18/96	4b(a)(i) 4b(a)(iv) 4c(a)(A) 4g(a)	1.38(a) 1.35(d)	COMPLAINT FILED	
CHEUNG, CURTIS K.	93-5598	SD NY	09/05/95	4b(a)(i) 4o(1)(A) 4o(1)(B) 9(a) 4d(1) 4c(b)	33.7 33.10 3.4	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.
CHEUNG, JASON	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
CHEUNG, JASON	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
CHIAPONNE, KATHLEEN	97-8	CFTC	05/20/97	4g	1.31(a) 1.35(a) 1.35(a-1)(1)	COMPLAINT FILED	
CHICAGO COMMODITY CORPORATION	89-23	CFTC	04/23/92	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB.
CHICAGO DISCOUNT COMMODITY BROKERS, INC.	80-5755	ND IL	05/01/86	4d(2)	1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; PREVIOUSLY APPOINTED RECEIVER TO SERVE AS TRUSTEE IN BANKRUPTCY PROCEEDINGS.
CHICAGO DISCOUNT COMMODITY BROKERS, INC.	83-3	CFTC	04/29/86	4b(A) 4d(2)	1.22		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; REG. REVOKED AS FCM; NOT TO REAPPLY FOR REGISTRATION.
CHICAGO DISCOUNT COMMODITY BROKERS, INC.	83-4	CFTC	09/29/86	4b(A) 4d 4g 9(a)	1.20(a) 1.31 1.32 1.35		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; REG. REVOKED AS FCM; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CHICAGO GRAIN AND FINANCIAL FUTURES CO.	83-46	CFTC	02/15/84	4g(1) 1.12(f)(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
CHICAGO MERCANTILE EXCHANGE	87-6	CFTC	06/07/90	5a(8) 5a(9)	1.12(e) 1.51 1.52		PEN. AMNT.: \$100,000; CME ORDERED TO REPORT TO COMMISSION FOR TWO YEARS ON ENFORCEMENT OF ITS FINANCIAL COMPLIANCE PROGRAM.
CHILCOTT COMMODITIES CORPORATION	81-999	D CO	07/10/81	4b(B) 4b(C) 4o(1)	4.21 4.22 4.21(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CHILCOTT PORTFOLIO MANAGEMENT, INC.	81-999	D CO	07/10/81	4b(B) 4b(C) 4o(1)	4.21 4.22 4.21(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CHILCOTT, THOMAS D.	81-999	D CO	07/10/81	4b(B) 4b(C) 4o(1)	4.21 4.22 4.21(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CHILMARK COMMODITIES CORPORATION	88-25	CFTC	09/20/88	4c(b)	33.7(d) 33.7(e) 33.7(f) 33.10 166.2 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NEVER TO SEEK REGISTRATION; SHALL NOTIFY ALL CUSTOMERS WITH OPEN ACCOUNTS OF AGREEMENT TO SURRENDER REGISTRATION.
CHILMARK COMMODITIES CORPORATION	88-6058	SD FL	09/15/88	4c(b)	33.7(f) 33.10 166.2 33.7(d) 166.3	PERMANENT INJUNCTION	
CHINODA, MOKHTAR ATTALA	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
CHIRICOTTI, PHILLIP G.	92-14	CFTC	02/21/92	4b(A) 4c(b)	33.10(a) 166.2		CEASE & DESIST ORDER; REG. REVOKED AS CTA.
CHITWOOD, RAYMOND	87-06486R	CD CA	10/11/88	4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARSHALL JR.				4b(A)	32.9 30.2		ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
CHLORIS LIMITED PARTNERSHIP	98-CIV-1682	SD NY					
CHOW, YUK WAH	85-16	CFTC	06/25/87	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
CHRIST, MICHAEL J.	93-15	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; NOT TO ACT AS FB FOR 6 MONTHS; FB REGISTRATION SUSPENDED 30 DAYS.
CHRISTIAN, JACK L. JR.	86-4792WDK	CD CA	01/16/87	4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.
CHU, DAVID W.T.	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
CHU, DAVID W.T.	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
CHULIK, MARK E.	99-02412	CAL	03/22/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20 4.21 4.22	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RESTRAINED & ENJOINED FROM DIRECTLY OR INDIRECTLY ENGAGING IN ANY ACTIVITIES THAT REQUIRE REGISTRATION WITH THE COMMISSION UNDER THE CEA.
CHULIK, MARK E.	SD-00-02	CFTC	2/17/00	8a(2)(C) 8a(2)(E)		COMMISSION ORDER	REGISTRATION AS CTA REVOKED.
CHULIK, MARK E. d/b/a WESTGATE PARTNERS d/b/a MEC MANAGEMENT d/b/a MEC CAPITAL MANAGEMENT	CV99-02412	C.D. CAL.	2/15/00	4b(a)(i) 4b(a)(ii) 4m 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.21(a) 4.21(b) 4.22	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$1,273,567.55; RECEIVER APPOINTED; FROZEN ASSETS TENDERED TO HIM & FREEZE LIFTED; NFA DESIGNATED AS MONITOR FOR 6 YRS. FROM ORDER DATE; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
CHURCHILL, PAUL	91-1480	SD FL	12/03/92	4m 4b	4.41 4.31	PERMANENT INJUNCTION	DISGORGEMENT OF \$346,041.57; PROTECT BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o			STOP CUSTOMER SOLICITATION.
CITADEL TRADING COMPANY OF CHICAGO, LTD.	77-8	CFTC	08/31/81	4b 4c 4d 4f 4g 4k			TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; APPEAL DISMISSED 5/12/86.
CITADEL TRADING COMPANY OF ST. LOUIS, LTD.	77-8	CFTC	08/31/81	4b 4c 4d 4f 4g 4k			TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; APPEAL DISMISSED 5/12/86.
CITADEL TRADING COMPANY, LTD. (THE)	77-0929-CB	ED MO	09/12/77	4d 4f 4g	1.31 1.35 1.34 1.18 1.20 1.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CITY COMMODITIES, INC.	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(a) 1.35(b)	PERMANENT INJUNCTION	
CLAIRMONT CAPITAL CORP.	99-S-1874	D COL	09/27/99	4c(b)	32.5 32.9 32.11 33.3	COMPLAINT FILED	
CLANCY, JAMES KENDALL	78-3	CFTC	11/25/80	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 15 MO.; REG. REVOKED AS AP.
CLANCY, MICHAEL	90-15	CFTC	01/22/92	4g	1.31(a)(1) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
CLANCY, PAUL H.	80-6563	SD FL	02/09/81	4d(2) 4f(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	
CLANCY, PAUL H.	87-14	CFTC	03/11/92	4c(b) 4k(1) 6(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$70,000; REG. REVOKED AS CTA.
CLARK, DOUGLAS M.	86-1479G	ND TX	06/16/86	4c(c) 4c(b)		PERMANENT INJUNCTION	PROHIBITED FROM VIOLATING TEXAS SECURITIES ACT.
CLARK, MICHAEL J.	SD-93-2	CFTC	04/22/97				REG. REVOKED AS FB
CLAYTON BROKERAGE CO. OF ST. LOUIS, INC.	85-21	CFTC	09/18/85	4k			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CLAYTON BROKERAGE	80-19	CFTC	08/26/80	4b(A)	1.20(a)		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COMPANY OF ST. LOUIS INC.				4d(2) 4g 9(b) 6(b) 6(c) 13(a)	1.23 1.37 17.01 166.3		AMNT.: \$200,000.
CLEARY TRADING COMPANY, INC.	79-8	CFTC	06/25/81				TO CEASE ACTING AS FCM, CTA OR CPO AND NOT TO APPLY FOR REGISTRATION.
CLEARY, JOHN THOMAS	81-8	CFTC	12/01/81				REG. DENIED AS AP.
CLOCKWORK TRADING CORP.	SD-95-22	CFTC	05/07/97				TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
CLOTHIER, DANIEL	93-27	CFTC	01/31/94	4b(a)(i) 4b(a)(ii) 4c(b) 4g(a) 4m 4n(3)(A) 4n(4) 4o(1) 9(a)(1)	1.31 1.35(a) 4.20(c) 4.22 4.23 33.10		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NOT TO SOLICIT OR TRADE INDIVIDUAL OR CUSTOMER ACCOUNTS OR POOL ACCOUNTS WHICH TRADE OFF-EXCHANGE FUTURES CONTRACTS; DISBARRED FROM PRACTICING BEFORE COMMISSION AS AN ATTORNEY.
CLOTHIER, DANIEL G.	92-1062-T	D KS	02/11/94	4b(a)(i) 4b(a)(ii) 4c(b) 4o(1) 9(a)(1) 4g(a) 4n(3)(A) 4m 4n(4)	4.20(c) 1.31 1.35(a) 4.23 4.22	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; MAKE RESTITUTION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION OR IN ANY CAPACITY WHICH REQUIRES ACCEPTING OR HOLDING CUSTOMER FUNDS.
CMB CAPITAL MANAGEMENT CORP.	98-10	CFTC				COMPLAINT FILED	
CO PETRO MARKETING GROUP INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; ENJOINED FROM TRADING PETROLEUM FUTURES; APPEALED; AFFIRMED ON APPEAL TO 9 TH CIR.
COCOA MERCHANTS, LTD.	89-11	CFTC	07/31/89	4(a) 4b(A) 4b(B) 4b(C)			CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(D) 4c(a)(A) 4h 4h(2)			
COEN, M. J.	78-37	CFTC	07/13/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
COFFEY, MICHAEL A.	86-6	CFTC	08/30/89	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
COHEN, SEYMOUR E.	78-2	CFTC	07/03/79	4c(b)	32.3		CEASE & DESIST ORDER; REG. DENIED AS AP.
COHN AND COMPANIES, LTD.	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
COHN AND COMPANIES, LTD.	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER.
COHN COMMODITIES, INC.	78-55	CFTC	05/25/79	4c(b) 4b(A)	32.3 32.5(a) 32.5(c) 32.6 32.7 32.8(a) 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 JOINTLY OWED; SUSP. AS FCM 6 MO.; SUSP. AS CPO 6 MO.; TO IMPROVE COMPLIANCE PROGRAM.
COHN COMMODITIES, INC.	78-31	CFTC	05/25/79	4c(b) 4b(A)	32.3 32.5(a) 32.5(c) 32.6 32.7 32.8(a) 32.9		CONSOLIDATED WITH DOCKET 78-55.
COHN PRECIOUS METALS INCORPORATED	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER.
COHN PRECIOUS METALS, INC.	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
COHN, STUART	78-55	CFTC	05/25/79	4c(b) 4b(A)	32.3 32.5(a) 32.5(c) 32.6 32.7		CEASE & DESIST ORDER; PENA. AMNT.: \$25,000 JOINTLY OWED; SUSP. AS AP 6 MO.; NOT TO ACQUIRE INTEREST IN ANY FCM W/O CFTC CONSENT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.8(a) 32.9		
COHN, STUART	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	DISGORGEMENT
COHN, STUART	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER; REG. REVOKED AS AP.
COLEMAN, ELLERY d/b/a GRANITE INVESTMENTS	00-16	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
COLICCHIA, PETER D.	SD-95-24	CFTC	08/14/96				COMPLY WITH UNDERTAKINGS; WITHDRAW APPLICATION FOR REGISTRATION; MAKE RESTITUTION NOT TO EXCEED \$9,750.00; NOT TO APPLY FOR REGISTRATION FOR ONE YEAR; ANY FUTURE REGISTRATION SHALL BE CONDITIONAL FOR 2 YEARS.
COLLINS COMMODITIES	90-23	CFTC	09/11/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$60,000.
COLLINS COMMODITY BROKERAGE CO.	93-27	CFTC	01/31/94	4b(a)(i) 4g(a) 4n(3)(A) 9(a)(1)	1.31 1.35(a) 4.20(c) 4.23		CEASE & DESIST ORDER; REG. REVOKED AS IB & CPO; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NOT TO SOLICIT OR TRADE INDIVIDUAL OR CUSTOMER ACCOUNTS OR POOL ACCOUNTS WHICH TRADE OFF-EXCHANGE FUTURES CONTRACTS.
COLLINS COMMODITY BROKERAGE COMPANY	92-1062-T	D KS	02/11/94	4b(a)(i) 9(a)(1) 4g(a) 4n(3)(A)	4.20(c) 1.31 1.35(a) 4.23	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION OR THE ACCEPTANCE OR HOLDING OF CUSTOMER FUNDS.
COLLINS, ANTHONY H.	82-44	CFTC	01/23/86	4k	1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$500.
COLLINS, DANIEL	94-13	CFTC				COMPLAINT FILED	
COLLINS, EDWARD	94-13	CFTC				COMPLAINT FILED	
COLLINS, EDWARD M.	94-C-4375	ND IL	02/06/97	4b(a)(i) 4b(a)(ii)		PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 4k(1) 4m(1) 4o(1)			
COLLINS, HAROLD	77-15	CFTC	01/10/84	4a 6(b) 6(c) 9(b)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
COLLINS, JOHN P.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
COLLINS, THOMAS W.	94-C-4375	ND IL	07/19/94	4b(a)(i) 4b(a)(ii) 4d(1) 4k(1) 4k(2) 4m(1) 4o(1)		COMPLAINT FILED	
COLMAN, LAWRENCE	00-6885	S.D. FL.	9/11/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JUDGEMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT IS ENTERED JOINTLY & SEVERALLY. CFTC SHALL PRESENT PROPOSED ORDER OF JUDGEMENT WITHIN 90 DAYS. PERMANENTLY RESTRAINED & ENJOINED FROM: 1) ACTING IN ANY CAPACITY, INCLUDING IN AN EXEMPT CAPACITY, AS A FCM, CPO, CTA, IB, FB, FT OR AP; 2) SEEKING APPLICATION FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY. GERALD B. WALD SHALL CONTINUE AS PERMANENT RECEIVER.
COLORADO COMPUTER SERVICE	84-48	CFTC	01/02/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; UNDERTAKE NOT TO TRADE EXCEPT TO HEDGE.
COLORADO INDUSTRIAL BANK CORPORATION	84-48	CFTC	01/02/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; UNDERTAKE NOT TO TRADE EXCEPT TO HEDGE.
COLTON, MICHAEL	98-2575-CIV-T-26C	MD FL	04/05/99				DISGORGEMENT OF \$523,950.54;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RESTITUTION OF \$523,950.54; CIVIL MONETARY PENALTY OF \$1,571,851.60; COSTS AWARDED PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING AS COMMISSION REGISTRANT OR APPLYING FOR REGISTRATION WITH COMMISSION.
COMARK COMMODITIES	82-11	CFTC	05/05/82	4d(2) 4f(2) 4g	1.10(d)(1) 1.12(a) 1.17(a)(1) 1.18(b) 1.20(a) 1.23 1.31(a) 1.32 1.36(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
COMENZO, THOMAS A.	SD-86-4	CFTC	11/04/86	8a(3)(J) 8a(3)(M)			REG. REVOKD AS FB.
COMEX CLARING ASSOCIATION, INC.	85-25	CFTC	11/24/87	4d(2) 5a(8) 5a(9)	1.20(a) 1.20(c) 1.22		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
COMMERCIAL PETROLERA INTERNATIONAL, S.A.	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
COMMODITIES AMERICA CORPORATION	80-478	D MN	12/02/81	4g(1) 4f(2) 6(b)	1.31 1.17 1.17(a)(3)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APOINTED; ACCOUNTING ORDERED.
COMMODITIES CORPORATION	85-51	CFTC	09/30/85	4a(2)(B) 4i	18.00 150.4 150.11 150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$425,000.
COMMODITIES INTERNATIONAL CORPORATION	83-43	CFTC	01/14/97	4b 4o 4n(1)	4.21 3.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$212,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS CPO & CTA.
COMMODITIES INTERNATIONAL HOLDING CORP.	83-43	CFTC	01/14/97				REG. DENIED AS FCM.
COMMODITY CONCEPTS MANAGED COMMODITY FUNDS	82-1931	ND OH	07/22/83	4b 4m 4n(1) 4n(3)(B) 4o(1)	4.20 4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
COMMODITY EXCHANGE	79-24	CFTC	01/19/79	5a(1)			CEASE & DESIST ORDER; PEN.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INCORPORATED				5a(12)			AMNT.: \$5,000.
COMMODITY EXCHANGE, INC.	85-25	CFTC	11/24/87	5a(8) 5a(9)	1.52 1.53		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.
COMMODITY EXCHANGE, INC. (THE)	85-7	CFTC	11/19/84	5a(8)	1.51 1.53 8.07		CEASE & DESIST ORDER; PEN. AMNT.: \$70,000.
COMMODITY EXPORTERS, INC.	79-36	CFTC	08/24/81	4a(2)(B) 6(b)	150.10(a) 18.00 18.01 18.03 19.00 19.04 19.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.
COMMODITY FLUCTUATION SYSTEMS, INC.	83-5909WK	SD NY	05/18/84	4b(A) 4o(1)	4.41(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION.
COMMODITY INVESTMENT COUNSELORS	80-23	CFTC	12/02/81	4n(4) 4o(1) 4o(2)	4.21 4.22		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA.
COMMODITY MANAGEMENT CORPORATION OF MICH.	86-1	CFTC	12/03/85	4o(1)	4.21(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; COMPLY WITH UNDERTAKING TO MAKE RESTITUTION OF \$10,000 TO CUSTOMERS WITHIN 30 DAYS.
COMMODITY MANAGEMENT PLUS, INC.	90-00038	ND IN	08/17/90	4o(1) 4k(3)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
COMMODITY MANAGEMENT SERVICES, INC.	82-16	CFTC	03/25/82	4 4h 4c(b) 4c(c) 4m	32.11 166.3		CEASE & DESIST ORDER.
COMMODITY MANAGEMENT SERVICES, INC.	82-6203	SD FL	04/15/82	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
COMMODITY OPITON SPECIALIST, INC.	89-23	CFTC	04/23/92	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
COMMODITY OPTIONS LIMITED	78-19	CFTC	12/10/81	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
COMMODITY REFERRAL SERVICE, INC.	97-1492	SD FL					
COMMODITY RESOURCES, INC.	81-2431	SD NY	10/14/81	4d(2)	1.20(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; TO

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f(2)	1.22 1.17(a)		WITHDRAW FROM REGISTRATION AND NOT REAPPLY.
COMMODITY SERVICES, INC.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(a) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO.
COMMODITY SPECIALIST CORPORATION	82-14	CFTC	02/18/83				REG. DENIED AS CPO & CTA.
COMMODITY TIMING SPECIALISTS	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
COMMONWEALTH FINANCIAL GROUP, INC.	92-6692	SD FL	02/21/96				VACATE ORDER DENYING PERMANENT INJUNCTION AND REMAND (11 TH CIR.).
COMP TECH LTD., INC.	99-8750-CV	S.D. FL	10/29/99			REVISED EX PARTE SRO	PROTECT & ACCESS BOOKS & RECORDS; ASSET FREEZE LIFTED.
COMPANIA SALVADORENA DE CAFÉ, S.A.	79-34	CFTC	04/02/81	4c(a) 9(b) 6(b) 6(c)			CEASE & DESIST ORDER; PROHIBITED FROM SPECULATIVE TRADING.
COMPUSOFT, INC.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
COMPUTER WAREHOUSE INC.	96-08202	SD FL	06/25/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4d(1) 4d(2) 4m(1) 4k(1) 4k(2) 9(a) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	RESTITUTION OF \$24,309 PLUS PRE-JUDGMENT INTEREST; BASED UPON DEFENDANTS SWORN FINANCIAL DISCLOSURE STATEMENT, THE COURT IS NOT ORDERING THE PAYMENT OF THE RESTITUTION AMOUNT AND A CIVIL MONETARY PENALTY UPON DEFENDANTS; DEFENDANTS SHALL SIGN ACKNOWLEDGEMENTS OF SERVICE OF ORDER AND SERVE ON COMMISSION WITHIN 7 DAYS.
COMPUTREND, LTD.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER.
COMPUTREND, LTD.	78-42	CFTC	07/24/79				REG. REVOKED AS CTA & CPO.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COM-TECH SYSTEMS LTD.	88-12	CFTC	03/11/88	4b(A) 4o(1) 4m(1)	4.21(a)		TRADING PRIVILEGES REVOKED; TO DISTRIBUTE REMAINING POOL FUNDS TO POOL PARTICIPANTS; NEVER TO SEEK REGISTRATION.
COM-TRAD SYSTEMS, INC.	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; CHARGED WITH CIVIL CONTEMPT ON 04/01/86.
COMVEST TRADING CORPORATION	79-1071	D MA	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
COMVEST, INC.	79-1071	d ma	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CONCEPT II INC.	87-3276(JWB)	D NJ	08/11/87	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4m 4o(1)	1.20 3.4 4.20(c)	PERMANENT INJUNCTION	
CONCORDE TRADING GROUP	93-1567	SD FL	07-19-96	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; THE GARDEN CITY GROUP APPOINTED AS DISBURSEMENT AGENT; PAY \$1,500.00 JOINTLY W/ AJS TO GARDEN CITY GROUP FOR PAYMENT TO CUSTOMERS; COOP. W/ COMMISSION & GARDEN CITY GROUP.
CONLIN, THOMAS G.	83-26	CFTC	05-11-84	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB & AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
CONNALLY, JOHN M.	88-3	CFTC	11/17/87		1.56(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
CONNELLY, JAMES L.	SD-99-7	CFTC	07/29/99	8a(3) 8a(4)			CONNELLY SHALL ABIDE BY A LIFETIME DUAL-TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RESTRICTION ON FB REGISTRATION; WILL COMPLY WITH UNDERTAKINGS.
CONNOLLY, DAVID C.	86-6	CFTC	03/10/92	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; \$400,000 PENALTY ASSESSED ON 7/14/92.
CONNORS & DAVENPORT, LTD.	79-828	D AZ	05/18/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CONSULTANT PUBLICATIONS, INC.	76-7	CFTC	10/31/75	6(b) 6(c) 9(b) 13(a) 4b 4f(2) 4(g)	1.16 1.17 1.18 1.33		ALLOWED TO WITHDRAW CTA REGISTRATION APPLICATION.
CONTICOMMODITY SERVICES, INC.	85-12	CFTC	09/30/86		1.35(a-1) 1.46 1.56 17.00 30.02 166.3 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; PEN. AMNT.: \$1,500,000; TO CEASE DOING BUSINESS AS FCM; NOT TO SEEK REGISTRATION IN ANY CAPACITY; ALSO SETTLES 86-36.
CONTICOMMODITY SERVICES, INC.	86-36	CFTC	09/30/86				SEE DOCKET 85-12.
CONTINENTAL PRECIOUS METALS, INC.	79-1406	SD FL	12/13/85	4c(b) 4c(c)	32.11 32.9 32.3	PERMANENT INJUNCTION	
COOPERS & LYBRAND	93-18	CFTC	05/24/93		1.16(d) 1.16(e)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000.
COOPERS & LYBRAND	93-19	CFTC	05/24/93		1.16(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000.
CORDERO, JOSEPH M.	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
COREA, DAVID S.	83-25	CFTC	05/11/84	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CORINGRATO, AL	99-1558-CIV-T-23F	MD FL	07/06/99	4c(b)	32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3	COMPLAINT FILED	
CORNISH, RONALD J.	78-2102A	ND GA	12/18/78	4d(2)	1.17(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f(2) 4g(2)	1.18(b) 1.18(c) 1.20(a) 1.23 1.32		ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
COTE, LARRY	83-4	CFTC	08/29/85	4b(A) 4d(2)	1.20(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$17,000; TRAD. PRIV. SUSP. 1-2 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
COUGAR COMMODITIES INC.	85-6451	SD FL	09/20/85	4m 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
COUGAR COMMODITIES, INC.	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
COUNTRY HEDGING, INC.	97-10	CFTC	06/24/97	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; COMPANY SHALL, AMONG OTHER THINGS, PROVIDE TRAINING TO ITS AP REGARDING THEIR DUTIES; MAINTAIN THE STAFF POSITION OF COMPLIANCE OFFICER WHO REPORTS TO COMPANY'S GENERAL MANAGER; HAVE GENERAL MANAGER REVIEW COMPANY'S COMPLIANCE WITH ORDER.
COX, EDWARD ANTHONY III	91-14	CFTC	03/04/98				APEALED THE C&D ORDER; REGISTRATION RESTRICTION AND TRADING PROHIBITION PREVIOUSLY IMPOSED WAS AFFIRMED BY THE COURT OF APPEALS 3/4/98.
CRACRAFT, PERRY J.	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED.
CRAIG, CHARLES	78-55	CFTC	05/25/79				TO WITHDRAW FROM REGISTRATION AND NOT REAPPLY FOR 3 YEARS.
CRAIG, JAMES P.	77-16	CFTC	08/19/77	6(c)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; SUSP. AS AP 1 MO. OR LESS; SUSP. AS FCM 1 MO. OR LESS.
CRAIG, JAMES P.	79-0609-H	ND TX	10/18/81	4c(b) 4c(c)		PERMANENT INJUNCTION	
CRAIG, JAMES P.	82-26	CFTC	06/09/83	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; PEN. AMNT.: \$600,000; TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PRIVILEGES REVOKED; REG. REVOKED AS AP.
CRAWFORD, JAMES R. CRILLY, RICHARD J.	97C7061 86-30	ND IL CFTC	08/19/86	4b 4d(2) 4f(2) 4g(1) 6(b)	1.17(a) 1.18(a) 1.18(b) 1.20(a) 1.20(c) 1.22 1.23 1.31(a)(1) 1.32 1.35(a) 166.3 1.25 1.22 1.20 1.12	COMPLAINT FILED	CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TO REMOVE HIMSELF FROM MANAGEMENT OF AJ RIFFEL & CO.; NOT TO REAPPLY FOR REGISTRATION.
CROMEX INC.	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
CROMWELL INTERNATIONAL PRECIOUS METALS INC.	85-3059	SD FL	06/26/86	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ALL CONTRACTS RESCINDED; FULL RESTITUTION ORDERED.
CRONOVER, CHARLES ARTHUR III	81-CA12	WD TX	02/22/89	4c(b) 4c(c) 4m	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN ANY BUSINESS, ACCEPTING, CONFIRMING OR EXECUTING COMMODITY OPTIONS CONTRACTS; ENJOINED FROM VIOLATING TEXAS DECEPTIVE TRADE PRACTICES – CONSUMER PROTECTION ACT.
CROTHERS, WILLIAM R.	87-19	CFTC	08/31/94				PEN. AMNT.: \$25,000; REG. REVOKED AS AP.
CROUCH, THOMAS A.	93-10	CFTC	07/06/94	4b(a)(i)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; APPEALED.
CROWLEY, JAMES TRENT	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
CROWLEY, THOMAS D.	78-2240	WD TN	12/02/80				TO JOINTLY PAY \$25,806.74 TO RECEIVER.
CROWLEY, THOMAS D.	79-2778			4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
CROWN COLONY COMMODITY	77-2678EW	SD NY	05/19/78	4c(b)	30.01	PERMANENT INJUNCTION	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
OPTIONS, LTD.				4k 4o(1)	32.3 32.8		
CROWN COLONY COMMODITY OPTIONS, LTD.	79-1	CFTC	09/27/79	4c(b) 4o(1)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; REG. REVOKED AS FCM & CTA; TO JOINTLY PAY \$200,000 INTO ESCROW FOR CUSTOMERS; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
CRUTTENDEN, JAMES	84-3920KH	CD CA	06/18/84	4d(2) 4f(2) 4g(1)	1.35(a) 1.18(b) 1.23 1.31 1.32 1.20(a) 1.17(a) 1.18(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; NOT TO APPLY FOR REGISTRATION OR AFFILIATE WITH A REGISTRANT FOR 10 YEARS.
CSA, INC.	84-1	CFTC	02/13/85	4m 4n(3)(A) 4o(1)	4.21(b) 4.21(c) 4.22(a) 4.22(c) 4.22(d) 4.22(e) 4.22(h)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
CTA, LTD.	91-23591J	D SC	08/12/92	4m 4o 4b 4c(b) 4n(3)(A) 9(a)	4.13 4.41 33.10 4.20 4.21	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; MUST DISGORGE ALL BENEFITS, INCLUDING \$154,000 IN CUSTOMER FUNDS.
CTS FINANCIAL PUBLISHING, INC. formerly COMMODITY TREND SERVICE, INC.	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
CUCINELLO, JOHN M.	78-62	CFTC	07/01/80	4f 4g	1.18(c) 1.32		CEASE & DESIST ORDER.
CULL, FRANK A.	91-7	CFTC	10/16/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; TRADED MAY ONLY BE EXECUTED BY DULY AUTHORIZED PERSONS; ALL POSITIONS MUST BE LIQUIDATED BEFORE COMMENCEMENT OF TRADING SUSPENSION; MAY NOT APPLY TO REGISTER IN ANY CAPACITY FOR 5 YEARS, EXCEPT MAY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPLY TO REGISTER AS FLOOR TRADER AFTER 18 MONTHS.
CULLEN, JACK DWIGHT	4-98-CV-0140A	ND TX					
CULPEPPER, HERBERT D.	88-32	CFTC	09/26/89	166.3			CEASE & DESIST ORDER.
CUNNINGHAM, JOSEPH MICHAEL	92-6427	SD FL	12/08/93	166.3		PERMANENT INJUNCTION	
CUNNINGHAM, JOSEPH MICHAEL	94-7	CFTC	12/09/93	4o	4.31(g) 4.41(a) 166.3		CEASE & DESIST ORDER; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.
CUNNINGHAM, KEITH H.	97-14	CFTC	08/13/97	4o(1) 4k(3)	166.3		CEASE & DESIST ORDER; JOINTLY OWED RESTITUTION OF \$2.6 MILLION; WILL NOT APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION REGULATES.
CURNES, ELIZABETH HUNT	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
CURRENCY MERCHANTS, LTD.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
CURRENCY SPECIALIST, INC.	79-4867	SD NY	09/29/79	4c(b) 4c(c)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
CURRENCY SPECIALISTS, INC.	79-13851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
CURRENCY TRADING SYSTEMS	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMPLAINT FILED	
CURREX INTERNATIONAL CORP.	CIV-PJM-98-3316	D MD				COMPLAINT FILED	
CURREX INTERNATIONAL CORP.	CIV-PJM-98-3316	D MD	10/29/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a) 4b(a)(iv)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; RESTITUTION & DISGORGEMENT OF \$5,264,251 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$15,792,753 PLUS PRE & POST JUDGMENT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							INTEREST.
CURREX INTERNATIONAL CORP.	CIV-PJM-98-3316	D MD				COMPLAINT FILED	
CURREX INTERNATIONAL CORP.	CIV-PJM-98-3316	D. MD.	10/27/99	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE ASSETS; STOP SOLICITATION; RESTITUTION AND DISGORGEMENT OF \$5,264,251 PLUS PRE AND POST JUDGEMENT INTEREST; CIVIL MONETARY PENALTY OF \$15,792,753 PLUS PRE AND POST JUDGEMENT INTEREST; SHALL NOT SEEK APPLICATION FOR REGISTRATION.
CURREX INTERNATIONAL CORP.	CIV-PJM-98-3316	D MD				COMPLAINT FILED	
CUSTER, RUSSELL HARLAN	91-228-LRC	ED AR	03/29/95			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; HELD IN CONTEMPT OF 1991 PRELIMINARY & 1992; PERMANENT INJUNCTION ON 4/1/95 EX PARTE ORDER EXTENDED.
CUSTER, RUSSELL HARLAN	92-27	CFTC	09/22/92	4b 4c(b) 4d(1) 4d(2) 4m 4o	1.20 1.33 4.13 4.20(b) 4.20(c) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION; MAY NOT ACT AS A PRINCIPAL OF A FIRM OR ENTITY REGISTERED WITH THE COMMISSION.
CYBULSKI, GLENN	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMPLAINT FILED	
CZARNIKOW-RIONDA COMPANY, INC.	83-47	CFTC	06/29/83	4d(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
D&B INVESTMENTS ASSOCIATES	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	RECEIVER APPOINTED.
D. E. JONES COMMODITIES INC.	83-5909WK	SD NY	07/02/85		166.3	PERMANENT INJUNCTION	APPEALED; AFFIRMED ON APPEAL BY 2 ND CIR. 2/28/86.
D. MOBLEY, INC.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OBERMIER APPOINTED TO ACT AS RECEIVER.
D. WEISS & ASSOCIATES, INC.	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JOINTLY & SEVERALLY LIABLE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
D'AMATO, FRANK	SD-99-3	CFTC	12/21/99				FLOOR BROKER REGISTRATION RESTRICTED; ALL ISSUES SETTLED; DISMISSED 12/22/99.
D'AMICO, LOUIS	93-2	CFTC	05/05/99	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
DAHL, DAVID B.	83-2	CFTC	02/10/84		1.16(b)(2) 1.10 1.16 1.16(d)(1)(i) 17.00(c)(2) 1.17(c)(5) 1.16(e)(2)		CEASE & DESIST ORDER; PERSONALLY RESPONSIBLE AS SHAREHOLDER FOR SANCTIONS IMPOSED ON LEAF, DAHL AND COMPANY, LTD.
DALLAS BROKERAGE COM., INC.	78-46	CFTC	05/29/79				REG. DENIED AS FCM.
DAMASO, DONALD PETER	92-12	CFTC	12/17/91	4o(1)(B)	4.13(b)(2)		CEASE & DESIST ORDER; REG. REVOKED AS AP.
D'AMATO, FRANK	SD-99-3	CFTC	12/21/99	8a(3)(M) 8a(4)		COMMISSION ORDER	REGISTRATION AS FB RESTRICTED.
DAMIAANS, FERDINAND J.	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
DANIELS, MARK	85-31	CFTC	01/22/88	4m 4o(1) 4b(A) 4n(3)(A)	4.41(a) 1.31 4.32 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
DANIELS, RICHARD	86-6	CFTC	03/10/92	4b(A)	166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; PENALTY TENTATIVELY ASSESSED ON 3/10/92 WAS REMOVED ON 7/14/92.
DARPA, FRANK	81-24	CFTC	08/07/81	4a(2)(B)	150.10		CEASE & DESIST ORDER; TRAD.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i 6(b)	18.04		PRIV. SUSP. 24 MO.
DASKOSKI, BARBARA	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT.
DATA TECH RESEARCH CORPORATION	90-26	CFTC	02/11/91	4d(2) 4g	1.20(c) 1.21 166.3 33.7		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
DAUBERT, JAMES L.	88-7	CFTC	04/10/92	4g	1.35(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
DAVID, DAN W.	75-11	CFTC	07/15/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
DAVIS, HARRY L.	92-17	CFTC	03/31/92	4c(b)	33.10 166.3		CEASE & DESIST ORDER; DAVIS AGREES NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY, NOR ACT AS A PRINCIPAL OF ANY REGISTRANT.
DAVIS, SHERALDINE	81-2250-W	WD TN	05/06/86	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
DAY, ADRIAN	92-1	CFTC	09/29/92	4c(b) 4d(1)	1.55 30.3(a) 30.4(a) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; MAY NOT SEEK, OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 2 YEARS.
DAY, RAYMOND	79-4873	SD NY	10/23/79	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
DAYTON, FORREST JR.	99-7	CFTC	05/26/99	4k(1)	3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$273,000.
DAYTON, FORREST, JR.	99-7	CFTC	3/16/00			NOTICE OF EFFECTIVE DATE	5/26/99 DECISION BECAME FINAL ORDER OF COMMISSION ON 3/6/00.
DE GOL ENTERPRISES, INC.	92-7158	SD FL	11/16/92	4b(A) 4b(B) 4c(b) 4d(1) 4k(1) 4k(2) 4m 4o	3.12 4.13 4.21 33.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; MARTHA LYONS APPOINTED TEMPORARY RECEIVER.
DE GOL FINANCIAL GROUP, INC.	92-7158	SD FL	11/16/92	4b(A) 4b(B) 4c(b)	3.12 4.13 4.21	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; MARTHA

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 4k(1) 4k(2) 4m 4o	33.10		LYONS APPOINTED TEMPORARY RECEIVER.
DEANGELIS, JOEL	96-D-389	D COL	01/24/97	4o(1) 4b(i) 4b(ii) 4b(iii) 9(a)(1) 4m(1) 4k(2) 4n 9(a)(3)	3.12(a) 1.31 3.31 4.22 4.23 4.24(n) 4.25 4.41 4.21(a) 4.21(b) 4.21(e)(2) 4.21(g)(1) 4.26(a)(2) 4.26(a)(2)(c)	PERMANENT INJUNCTION	SHALL NOT APLY FOR REGISTRATION IN ANY CAPACITY; ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION; ACT AS, OR ASSOCIATE WITH CPO OR CTA EXEMPT FROM REGISTRATION.
DEANGELIS, JOHN A.	87-14	CFTC	03/20/89	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.
DEARBORN FINANCIAL PUBLISHING, INC.	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
DECKELBAUM, MITCHEL J.	87-3	CFTC	03/22/88	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DEH FINANCIAL SERVICES INC.	87-8	CFTC	02/27/87	4b(A) 4b(B) 4b(C) 4b(D) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
DEJONG, FRED ERIC	97-CIV-1360	ND CAL	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4k(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF SSETS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ALL DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION AND DISGORGEMENT OF \$2,633,130.40 AND A CIVIL MONETARY PENALTY IN THE AMOUNT OF \$320,000.
DEL DEO, ELLEN DAVID	82-2062	SD FL	01/25/84	4o(1)		PERMANENT INJUNCTION	
DEL DEO, ELLEN DAVID	84-19	CFTC	01/10/84	4o(1)			CEASE & DESIST ORDER; SUSP.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AS AP 48 MO.; NOT TO APPLY FOR REGISTRATION FOR 4 YEARS.
DEL DEO, PAUL	82-2062	SD FL	01/25/84	4o(1)		PERMANENT INJUNCTION	
DEL DEO, PAUL	84-19	CFTC	01/10/84	4o(1)			CEASE & DESIST ORDER; SUSP. AS AP 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
DEL RE, ANGELO	85-4	CFTC	03/14/85	4c(a) 4g	1.38(a) 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 14 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
DELBRIDGE, DAVID S.	81-770	D MN	04/03/85	4o(1) 4n(4) 4n(3)(A)	1.16 4.22(d) 4.22(h) 4.23 1.31(a) 4.21	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
DELBRIDGE, DAVID S.	85-15	CFTC	03/14/85	4n(3) 4n(4) 4o(1)	1.16 1.31(a) 4.21 4.22(d) 4.22(b) 4.23		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP.
DELOITE & TOUCHE LLP	96-10	CFTC	09/25/96				COMPLY WITH UNDERTAKINGS FOR 4 YEARS FROM DATE OF ORDER, PAY CMP OF \$100,000.
DELOS COMMODITIES	85-35	CFTC	08/19/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
DELOS COMMODITIES, INC.	80-28	CFTC	01/06/84	4b 4c(a) 4g	1.37 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; PROHIBITED FROM TRADING FOR OWN ACCOUNT FOR 6 MONTHS; ALSO SETTLES PROCEEDINGS IN DOCKETS 80-30, AND 80-31.
DELOS COMMODITIES, INC.	80-30	CFTC	01/06/84	4b 4c(a) 4g	1.37 1.38		SEE DOCKET 80-28.
DELOS COMMODITIES, INC.	80-31	CFTC	01/06/84				SEE DOCKET 80-28.
DELTA COMMODITIES CORPORATION	78-65	CFTC	02/18/82	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
DELTA COMMODITIES CORPORATION	79-4	CFTC	02/18/82	4b			CEASE & DESIST ORDER; PENA. MANT.: \$5,000.
DELTA CONSULTANTS	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DELTA FINANCIAL CORP.	6:00-0567	S.D. W.V.	8/18/00	4b(a)(i)	4.13(b)(2)(i)(A)	PRELIMINARY	FREEZE OF ASSETS; PROTECT

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(ii) 4b(a)(iii) 4c(b) 4d(1) 4d(2) 4o(1)	4.13(b)(2)(i)(B) 4.20(c)	INJUNCTION	BOOKS & RECORDS; ACCOUNTING MADE.
DELTA OPTIONS	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DEMARCO, THOMAS F.	00-1	CFTC	12/13/99	4b(a)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; CIVIL MONETARY PENALTY WAIVED BASED ON SWORN FINANCIAL STATEMENT; SHALL COMPLY WITH UNDERTAKINGS.
DEMARCO, THOMAS F.	00-01	CFTC	12/13/99	4b(a)		COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 10 YRS; SHALL NOT SEEK REGISTRATION W/ COMMISSION FOR 10 YRS. OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
DEMEO, ROBERT	78-1069	SD FL	01/17/83	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
DEMHOFF CORPORATION	89-25	CFTC	08/03/90	4a(5)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY.
DEMPSEY, MARTIN J. JR.	91-13	CFTC	10/05/93	4b(A) 4b(B) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
DEMPSEY, RICHARD R.	89-25	CFTC	08/03/90	4a(5)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 18 MONTHS.
DEN HARTOG, JAMES	00-07	CFTC	3/7/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b)	33.10(a) 33.10(b) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; PENALTY AMOUNT \$10,000; PERMITTED TO ENGAGE IN BONA FIDE HEDGING AS DEFINED BY COMMISSION REGULATION 1.3(z) TO HEDGE PRICE RISKS ASSOCIATED WITH HIS BUSINESS AS A HOG BREEDER; SHALL NEVER APPLY FOR

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION W/ COMMISSION IN ANY CAPACITY.
DENG, NINA	93-0067	CD CA	05/20/94	4(a)		PERMANENT INJUNCTION	
DENIGRIS, MICHAEL SALVATORE	SD-95-23	CFTC	08/08/95				CONDITIONALLY REGISTERED FOR 2 YEARS AS FB.
DENIZ, THOMAS J.	96-5895	ED CA	07/30/96 04/07/97 11/16/98	4m(1) 4b(a)(i) 4o(1)	4.20	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; MEMORANDUM OPINION & ORDER APPROVING PERMANENT RECEIVER'S PLAN OF DISTRIBUTION, DIRECTING DISTRIBUTION OF FUNDS, SETTING COMPENSATION OF RECEIVER & DISMISSING RECEIVER.
DENNIS, LAWRENCE A.	86-17	CFTC	04/15/87	4(a)			CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
DEPALMA, ROBERT	79-42	CFTC	09/20/82	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 1.31(a) 32.6		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 1 YEAR.
DEPRIZIO, DANIEL	79-42	CFTC	09/20/82	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 1.31(a) 32.6		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 1 YEAR.
DESALVO, NICHOLAS	92-19	CFTC	02/04/98	4b(A) 4b(C) 4b(B) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB; ON APPEAL.
DESANO, MARK J.	82-777	ND NY	08/06/82	4b(A) 4o(1)	4.41	PERMANENT INJUNCTION	
DEWITTE, SCOTT	00-35	CFTC	9/28/00	4c(b)	33.10	COMPLAINT FILED	
DEXTER, JOHN J.	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED.
DEXTER, JOHN J.	79-0609	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
DEZELL, PETER JAMES	92-29	CFTC	09/29/92	4k(1)	1.35(a-1) 3.12		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
DIAL, DONALD. D.	80-19	CFTC	10/27/87	4b(A) 4d(2) 4g	1.20 1.37 17.01		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i 6(b) 6(c) 9(b) 13(a)	18.00 18.01 18.04		APPLY FOR REGISTRATION.
DIAL, SCOTT D.	80-19	CFTC	08/18/87	4b(A) 6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; REG. DENIED AS CTA & CPO; NOT TO APPLY FOR REGISTRATION..
DIAL, SCOTT D.	81-3	CFTC	12/16/80				CONSOLIDATED WITH 80-19.
DICKSON, FREDERICK J.	83-62	CFTC	12/07/83				REG. REVOKED AS FB.
DICKSON, FREDERICK J.	84-5	CFTC	04/12/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRADING PRIVILEGES REVOKED.
DICKSTEIN, MARK B.	90-29	CFTC	09/09/91	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; AFTER TRADING EXPIRATION, ORDERS MAY ONLY BE PLACED THROUGH AUTHORIZED PERSONS; MUST LIQUIDATE ALL FUTURES AND OPTION POSITIONS; MAY NOT APPLY TO REGISTER IN ANY CAPACITY FOR 5 YEARS; MAY NOT APPLY TO REGISTER AS FLOOR BROKER FOR 6 YEARS; 5/30/95 COMMISSION DENIES MD MOTION TO MODIFY SETTLEMENT.
DIGISO, JOSEPH JOHN	83-24	CFTC	03/11/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
DILLON, CHASE, WEST, INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
DILLON-GAGE, INC.	80-4	CFTC	06/20/84	4d(2) 4f(2) 4g(1) 4g(3) 4g(4)	1.20(a) 1.32 1.26(a) 1.23 1.28 1.17 1.33 1.33(a) 1.35(a) 1.35(a-1) 1.32		PEN. AMNT.: \$1,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DIPASQUALE, VINCENT A.	78-35	CFTC	06/29/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
DIRKSEN, TERRY ALLAN	98-4	CFTC	09/24/98	4b(a) 4o(1)(A) 4o(1)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; CMP PAYABLE TO THE CFTC; IF NOT PAID WITHIN 15 DAYS OF THE ORDER DIRKSEN SHALL BE AUTOMATICALLY PROHIBITED FROM TRADING ON ALL CONTRACT MARKETS; DIRKSEN SHALL NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY FOR 3 YEARS; DIRKSEN SHALL COOPERATE FULLY WITH THE COMMISSION.
DISCOUNT BULLION RESERVE	84-1463	SD CA	09/03/85	4m 19 9	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
DISHY BROTHERS	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ONE MONTH TRADING SUSPENSION HELD IN ABEYANCE.
DISHY, BERNARD	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TWENTY DAY SUSPENSION OF T-BILL TRADING HELD IN ABEYANCE.
DITTMER, THOMAS H.	83-20	CFTC	02/17/83	4a(2)(B) 4i	150.2 150.4 150.11 150.12 18.00 18.01(d) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; PROHIBITED FROM TRADING COTTON FUTURES FOR 4 MONTHS.
DIVERSIFIED MANAGEMENT SERVICES CORP.	90-16	CFTC	04/22/91	6(b) 8b 4k(3)	4.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
DIVERSIFIED OIL INVESTMENT INC.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
DIVERSIFIED TRADING SYSTEMS	94-5	CFTC	11/03/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NEVER SEEK OR ACT IN CAPACITY REQUIRING REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DIVERSIFIED TRADING SYSTEMS, INC.	82-8529	SD FL	10/26/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	DISGORGEMENT; ALT. FUNDS ON DEPOSIT WITH INDEX FUTURES GROUP; PETER HORNIK APPOINTED ESCROW AGENT.
DIVESIFIED INVESTOR'S GROUP, INC.	83-1591EBD	SD FL	05/09/85	4o(1) 4b	4.21(a) 4.22 166.3	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
DIVOZZO, THOMAS M.	82-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT.
DIXON, CARL DEAN	00-3	CFTC	12/16/99	4b 4m 4o		COMPLAINT FILED	
DIXON, CARL DEAN	00-03	CFTC	4/12/00	4b 4o 4m		ALJ ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$28,500; BECAME FINAL ORDER ON 5/12/00.
DOHERTY, JOHN FRANCIS	83-23	CFTC	12/10/90	4e 4g(1)	1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; EFFECTIVE DATE OF ORDER IS 1/10/91.
DOLPHIN COMMODITIES, INC.	80-33	CFTC	09/24/81	4f(2) 4d(2)	1.17 1.18b 1.10(b) 1.20(a) 1.28		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
DOMBROSKI, WALTER	88-20	CFTC	12/16/88	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGED REVOKED; REG. REVOKED AS AP.
DOMESTIC OIL CORPORATION	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
DOMINICK, KEITH	94-661-CIV	MD FL	04/01/96	4b(a)(i) 4m(1) 4o(1) 9(a)(1) 4n(3)(A) 4b(a)(ii)	4.20 4.21 4.22 1.31	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
DOMINICK, WARREN J.	88-4	CFTC	12/21/87	4f(2) 6(b)	1.10(b)(2) 1.10(d) 1.17(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS; NOT TO PRACTICE AS ACCT. OR ATTY. BEFORE CFTC

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR 5 YEARS.
DONALD JAMES, INC.	1:99-CV-0967	ND GA	04/16/99				RECEIVER APPOINTED.
DONALD JAMES, INC.	1:99-cv-0967	N.D. GA	5/8/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL NOT ACT AS PRINCIPAL, EMPLOYEE, OFFICER OR AGENT OF ANY PERSON REG., EXEMPTED FROM REGISTRATION OR REQUIRED TO BE REGISTERED UNDER THE ACT.
DONALDSON, LUFKIN & JENRETTE ACLI FUTURES	84-49	CFTC	03/07/85	4g(1) 4i 6(b)	17.00(a)(1) 17.01 17.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE SYSTEM.
DONATACO, INC.	89-2778MAC	ED NY	08/31/89	4b(A) 4d(2) 4d(1) 4o(1) 9(a)	1.20 3.4 4.20(a) 4.20(b) 4.20(c) 4.41(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DONCOMM FINANCIAL, INC.	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
DONCOMM FINANCIAL, LTD.	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.222	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
DONNEY SECURITIES, LTD.	79-42	CFTC	10/21/81	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 1.31(a) 32.6		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM & CTA.
DORMAGEN, ROBERT L.	6:00-0567	S.D. W.V.	8/18/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4d(1) 4d(2) 4o(1)	4.13(b)(2)(i)(A) 4.13(b)(2)(i)(B) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING MADE; ALLOWED TO WITHDRAW AND UTILIZE \$3,000 PER MONTH FOR REASONABLE & ORDINARY LIVING EXPENSES.
DORNER, JOSEPH C.	SD-82-3	CFTC	06/17/82				REG. DENIED AS AP.
DOST, ARBEN	86-5457	CD CA	01/12/87	4m 4o(1)		PERMANENT INJUNCTION	
DOUE, FRANKLIN ERROL	93-25	CFTC	09/07/93	4b(a)(ii)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; NOT TO SEEK OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 1 YEAR.
DOWLER & BEEKMAN TRADING	96-14284	SD FL	02/19/97	9(a)(1)	4.20	PERMANENT INJUNCTION	WITH JAMES V. DOWLER,

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COMPANY, LTD.				4b(a)(i) 4b(a)(ii) 4k(2) 4k(3) 4m(1) 4o(1)	4.30 4.41(b)		JOINTLY PAY RESTITUTION OF \$977,197.00 TO DBT ACCT. OWNERS.
DOWLER, JAMES V. JR.	96-14284	SD FL	02/18/97	4b(a)(i) 4b(a)(ii) 4k(2) 4k(3) 4m(1) 4o(1) 9(a)(1)	4.20 4.30 4.41(b)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; DOWLER & BEEKMAN, JOINTLY PAY RESTITUTION OF \$977,197.00 TO DBT ACCOUNT OWNERS; NFA WILL MONITOR DOWLER'S COMPLIANCE WITH THE TERMS OF RESTITUTION; JVD AGREES TO MAKE ANNUAL PAYMENTS; PROVIDE A SEMI-ANNUAL FINANCIAL STATEMENT; COOPERATE FULLY WITH THE COMMISSION & NFA; FOLLOW FURTHER UNDERTAKINGS OF THE ORDER; FLORIDA STATUTES ALSO VIOLATED.
DOYLE, JAMES J.	79-11	CFTC	02/26/79				REG. REVOKED AS AP.
DREHER, DAVID B.	85-6	CFTC	01/03/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
DRESNER, LAWRENCE ALLEN	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	
DREXEL BURNHAM LAMBERT INCORPORATED	89-3	CFTC	11/10/88	4c(a) 4g	1.35(a-1)(1) 1.35(a-1)(2) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$145,000.
DREXEL BURNHAM LAMBERT, INCORPORATED	88-10	CFTC	11/22/89	4g	1.31(a) 1.35(a) 1.37(a) 17.00(a) 17.00(b) 17.01(a) 17.01(b) 17.02(a)(2) 166.2 1.35(a-1)(1) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$55,000.
DREZNER, BRUCE ALAN	92-6009	SD FL	09/21/93			PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; ASSETS ARE FROZEN UNTIL DISGORGEMENT ORDER IS SATISFIED; \$16,613.35 MUST

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BE DISGORGED.
DRIGGS, KAY ALLAN	81-0633	D UT	08/26/81	4o(1)		PERMANENT INJUNCTION	
DRIGGS, KAY ALLAN	82-12	CFTC	03/03/82	4m 4n(3) 4o(1) 6(b)	4.21(a) 4.21(b) 4.23 4.31(a) 4.31(b)		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
DROGE, WILLIAM	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
DROGE, WILLIAM	98-CIV-1365	SD NY	03/03/98	4b 4(a)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
DRURY AND ASSOCIATES, INC.	88-2	CFTC	11/10/87	4o(1) 4k(1)			CEASE & DESIST ORDER; NEVER TO REAPPLY FOR REGISTRATION.
DRURY, FRANK V.	88-2	CFTC	11/10/87	4o(1) 4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
DUKE, ROBERT E.	79-28	CFTC	10/15/80	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
DULL, MARGARET	99-17	CFTC	09/30/99		1.35(a-1)(1) 1.35(a-1)(2)	COMPLAINT FILED	
DULL, MARGARET	99-17	CFTC	4/10/00	4g	1.35(a-1)(1) 1.35(a-2)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; SHALL COMPLY W/ UNDERTAKINGS.
DUNCAN, LARRY M. JR.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	TO PAY \$1,000 TO RECEIVER.
DUNHILL FINANCIAL GROUP, INC.	99-7	CFTC	03/04/99	4c(b)	33.10 166.3	COMPLAINT FILED	
DUNHILL FINANCIAL GROUP, INC.	99-7	CFTC	2/4/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS IB, CPA & CTA REVOKED; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
DUNHILL INVESTMENTS CORPORATION	90-25	CFTC	12/17/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB; MAY NOT APPLY FOR REGISTRATION IN ANY CAPACITY.
DUNLAP, DAVID	79-03851	CD CA	04/30/82	4c(c) 4c(b)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
DUNN, WILLIAM C.	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ACCESS BOOKS & RECORDS.
DUPLAIN, ALFRED A.	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DUPLAIN, KEVIN R.	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DUPONT GROUP, INC.	98-CIV-1365	SD NY	03/03/98	4(a) 4b		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
DURKIN & ASSOCIATES INC.	88-12	CFTC	03/11/88	4b(A) 4k(2) 4k(5) 4n(1) 4o(1) 6(b)	4.21(a) 166.3		TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DURKIN, JOHN F.	82-43	CFTC	05/02/84	4b 4m 4n 4o(1)	4.20(c) 4.21 4.22 4.24		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
DURKIN, JOHN F.	88-12	CFTC	09/13/88	4b(A) 4k(2) 4m(1) 4n(1) 4o(1) 6(b)	3.14 4.21(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500; TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DURKIN, TIMOTHY E. SR.	88-12	CFTC	03/11/88	4b(A) 4k(2) 4k(5) 4m(1) 4n(1) 4o(1) 6(b)	3.14(a) 4.21(a) 166.3		TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DUVERGLAS, LESLIE	77-18	CFTC	11/29/77	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
E & P NORTH AMERICAN TRADING CORP.	80-0689	SD NY	12/17/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
E. DAVID STEPHENS COMMODITIES	90-3276	ED NY	07/18/91	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	TO SERVE COMPLAINT AND ORDER ON ALL OFFICERS AND EMPLOYEES.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
E. DAVID STEPHENS COMMODITIES CORP.	91-18	CFTC	07/09/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB & CPO; NEVER APPLY TO REGISTER OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
E. F. HUTTON & COMPANY INC.	86-11	CFTC	02/24/86	4g	1.31 1.33(e) 1.35(a) 1.38(b) 1.55(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TO UNDERTAKE IMPROVEMENTS IN RECORDKEEPING AND COMPLIANCE PROGRAM.
E.D. & F. MAN (SUGAR), LTD.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
E.D.P. COMMODITY, INC.	82-8	CFTC	05/19/82	4i	15.01 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED.
E.F. HUTTON & COMPANY, INC.	89-24	CFTC	09/21/89	4b(A) 4c(b) 4o(1)	32.9 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
E.F. HUTTON AND COMPANY, INC.	88-3	CFTC	11/17/87	4b(A) 4g 4g(1) 4k(1)	1.31(a) 1.35(a) 1.56(b)(1) 1.56(b)(2) 17.00 17.01(b)(6) 17.01(d) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$125,000.
EAGAN AND COMPANY, INC.	92-20	CFTC	07/31/92	4f(2) 4g(1) 6(b)	1.10(b) 1.10(d) 1.12(a) 1.17(a) 1.18(a) 1.18(b) 1.31 1.12(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; REG. REVOKED AS IB; ALJ ORDER; \$15,000 CIVIL MONETARY PENALTY ASSESSED ON 09/16/92.
EAGAN, JAMES R.	92-20	CFTC	07/31/92	4f(2) 4g(1) 6(b)	1.10(b) 1.10(d) 1.12(a) 1.12(c) 1.17(a) 1.18(a) 1.18(b) 1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; REG. REVOKED AS IB; ALJ ORDER; \$15,000 CIVIL MONETARY PENALTY ASSESSED ON 09/16/92.
EARL K. RILEY COMPANY	78-42	CFTC	07/24/79				REG. REVOKED AS FCM.
EARL K. RILEY COMPANY (THE)	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
EAST OCEAN INTERNATIONAL	92-1676	CD CA	12/19/94	4m	4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS.
EASTON AND COMPANY	79-27	CFTC	03/10/81	4b(D) 4g	1.35 1.37 1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; SIX MONTH TRADING PROHIBITION HELD IN ABEYANCE.
EASTON, KENNETH	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; FOUR MONTH TRADING PROHIBITION OF T-BILL TRADING HELD IN ABEYANCE.
EASTON, STANLEY	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; FOUR MONTH TRADING PROHIBITION OF T-BILL TRADING HELD IN ABEYANCE.
ECKLES, OLIVER BURNHAM	93-22	CFTC	07/16/93	4b(a)(i) 4o(1) 9(a)(1)			NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO ACT AS CPO OR AGENT OF CPO, OR OTHERWISE ACCEPT OR HOLD CUSTOMER FUNDS.
ECONOMIC CONSULTANTS OF PRINCETON, INC.	85-47	CFTC	02/08/93	4m 4b(A) 4o(1)	4.31(a) 4.31(b) 4.41(a) 4.41(b) 4.32		CEASE & DESIST ORDER; PEN. AMNT.: \$12,000.
ECONOMIC CONSULTANTS OF PRINCETON, INC.	87-10	CFTC	07/16/87				APPEALED; CONSOLIDATED WITH 85-47.
ECONOMIC MANAGEMENT, INC.	87-20	CFTC	09/29/87	4m(1) 4n(3)(A)	1.31 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; TO DISTRIBUTE REMAINING POOL FUNDS.
ECONOMOU ARTHUR N. AND COMPANY, INC.	79-2134VB	SD NY	10/30/81 05/24/85	4c(b) 4c(c)	32.7 32.11	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR.; DISGORGEMENT; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR. 10/10/86.
ECONOMOU, ARTHUR N.	79-2134VB	SD NY	10/30/81 05/24/85	4c(b) 4c(c)	32.7 32.11		ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR.; DISGORGEMENT; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR. 10/10/86.
ECONOMOU, PHYLLIS H.	79-2134VB	SD NY	10/30/81 05/24/85	4c(b) 4c(c)	32.7 32.11		ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR.; DISGORGEMENT; APPEALED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AFFIRMED ON APPEAL TO 2 ND CIR. 10/10/86.
EDCO MANAGEMENT CORP.	89-4	CFTC	12/13/91	4b(A)	166.3		CEASE & DESIST ORDER.
EDELSON, LAWRENCE S.	87-1	CFTC	11/07/86	4c(a)(A) 4c(a)(B) 6(b) 6(c) 9(b)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1-2 MO.
EDMUNDSON, WARREN	88-3	CFTC	05/26/88	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$12,500.
EFFRON, CRAIG W.	93-1	CFTC	05/19/94	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1-2 MO.; FT REGISTRATION SUSPENDED FOR 2 MONTHS.
EFFRON, CRAIG W.	93-2	CFTC	03/04/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
EFROSMAN, ALEX	97-13	CFTC	08/07/97	4(a) 4b(a)(i) 4b(a)(ii) 4d(1) 4k(1)	3.12(a)	COMPLAINT FILED	
EFROSMAN, ALEX	97-13	CFTC	2/8/00	4(a) 4b(a)(i) 4b(a)(ii) 4d(1) 4k(1)	3.12(a)	ALJ ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$500,000; 2/8/00 DECISION BECAME FINAL ORDER OF COMMISSION ON 3/9/00.
EGAN, THOMAS M.	93-18	CFTC	05/24/93	4f(b) 6(c)	1.10(d) 1.17(a)(1)(i) 1.17(a)(4)		CEASE & DESIST ORDER; NEVER SEEK REGISTRATION OR ACT IN A CAPACITY REQUIRING REGISTRATION; TRADE ONLY FOR HIS OWN ACCOUNT.
EGAN, THOMS MADDEN	90-C4387	ND IL	09/13/91	4b(A) 4c(b) 4o(1)(B)	33.10(a)	PERMANENT INJUNCTION	
EGGUM, JOHN E.	89-13	CFTC	08/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKEDAS FB; AT EXPIRATION OF TRADING SUSPENSION, MAY NOT TRADE FOR OTHERS AND MAY NOT EXECUTE TRADES FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
EHRENBERG, GEORGE	82-4925	ED IL	12/15/82	4m	4.31(a) 4.31(f)(1) 4.41(b)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
EHRENSPECK, ROBERT S.	83-22	CFTC	08/06/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
EINSTEIN – CISVEST INC.	94-9	CFTC	12/09/93	4b(a) 4c(b) 4o	4.31(g) 4.41(a) 33.7(f) 33.10		CEASE & DESIST ORDER; REG. REVOKED AS CTA; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.
EINSTEIN-CISVEST	92-6427	SD FL	11/17/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a)	PERMANENT INJUNCTION	
EISBART, SAMI	80-0689	SD NY	12/17/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
EISBART, SAMI	81-2250-W	WD TN	09/11/85	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
EISENBERG, MURRAY	80-23	CFTC	12/02/81	4n(4) 4o(1) 4o(2)	4.21 4.22		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO, CTA & AP.
ELDMAN, RICHARD L.	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
ELISH, HAROLD D.	85-49	CFTC	09/30/85	4k(1)	3.12		CEASE & DESIST ORDER; PEN. AMNT.: \$12,000.
ELISHA, W. ROBERT	92-29	CFTC	09/29/92	4g	1.35(a-1)		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500.
ELLIOT, BENJAMIN T.	79-28	CFTC	10/15/80	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500.
ELLIOTT, DAVID BRUCE	85-48	CFTC	09/30/85		166.3		CEASE & DESIST ORDER; SUSP. AS AP 1 MO. OR LESS; NOT TO ACT IN SUPERVISORY CAPACITY FOR 4 YEARS.
ELLIOTT, WAYNE I.	95-1	CFTC	03/04/98	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; THE TRADING PROHIBITION AND CIVIL PENALTIES SHALL BECOME

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							EFFECTIVE 30 DAYS FROM THE DATE OF THE ORDER; ON APPEAL.
EMANUEL CAPITAL ADMINISTRATORS	87-1	CFTC	11/07/86	4c(a)(A) 4c(a)(B) 6(b) 6c 9(b)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$55,000; NOT TO APPLY FOR REGISTRATION; TO UNDERTAKE TO DISSOLVE CORPORATION AND TO PROVIDE DOCUMENTATION.
EMPEROR INTERNATIONAL EXCHANGE	95-2668	D NJ	06/02/95	4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ALL CONTRACTS RESCINDED; \$105,000 TO COURT FOR RETURN OF CUSTOMER FUNDS; ERIC TUNIS APPOINTED AS AGENT TO DISTRIBUTE RESTITUTION.
EMPEROR INTERNATIONAL EXCHANGE CO.	94-1162-A	ED VA	05/26/95	4(a)		PERMANENT INJUNCTION	DISGORGEMENT OF \$196,800.
ENERGY INVESTMENT EXCHANGE, INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
ENGARD, RHONDA	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
ENGEL, CHRISTOPHER	93-5	CFTC	04/23/97	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 9 MO.; REG. REVOKED AS FB.
ENGEL, CHRISTOPHER E.	93-1	CFTC	05/19/94	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1-2 MO.
ENGLAND, MARK W.	88-18	CFTC	06/07/88	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV. SUSP. 12 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
ENSIGN TRADING CORP.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
EPWORTH FINANCIAL, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ASSETS; PROTECT BOOKS & RECORDS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
EQUITY TRADING CORP.	85-6936	SD FL	12/19/85			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
ERICKSON, GAYE L.	84-41	CFTC	05/22/85	4b(A) 4b(B) 4b(C)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
ERICKSON, ROY E.	89-5	CFTC	05/11/90	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
ERICSON FINANCIAL GROUP, INC.	92-6893	SD FL	12/12/94	4m 4o 4d(1) 4b(a)(i) 4b(a)(ii) 4c(b) 4g 4n(3)(A)	4.13 33.10 4.21 1.31	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
ESPOSTI, EDWARD	79-3382	SD NY	12/05/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
ESTEP, KEITH	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
EUREX MARKETING CORPORATION	97-7422	SD FL	10/20/99	4b(a)(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$2,947,360.41 PLUS PRE-JUDGMENT INTEREST.
EUREX MARKETING CORPORATION	97-7422	S.D. FL	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$2,947,360.41 PLUS PRE-JUDGMENT INTEREST; SHALL NOT SEEK REGISTRATION OR CLAIM EXEMPTION.
EURO AMERICAN CURRENCY CORPORATION	79-4313	SD NY	09/26/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECEIVER APPOINTED.
EURO-CAL, LTD.	79-0752	CD CA	07/29/80	4d 4b	1.7	PERMANENT INJUNCTION	
EURO-CAL, LTD.	80-27	CFTC	02/27/87	4b 4d 4h	1.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
EUROGOLD EXCHANGE	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; PERMANENT RECEIVER; RESTITUTION; RESCIND CONTRACTS & RETURN MONEY.
EUROGOLD EXCHANGE, LTD.	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; RESCIND CONTRACTS AND REFUND MONEY.
EUROMETALS INCORPORATED	80-27	CFTC	02/27/87	4b 4d 4h	1.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
EUROMETALS, INC.	79-0752	CD CA	03/09/82	4b 4d	1.7	PERMANENT INJUNCTION	RECEIVER APPOINTED.
EUROPACIFIC EQUITY AND CAPITAL MANAGEMENT	99-6560-CIV	SD FL	10/29/99	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1) 4n(4)	3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; RESTITUTION OF \$2,595,280 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$7,785,841.
EUROPACIFIC EQUITY AND CAPITAL MANAGEMENT, LTD.	99-6560-CIV	S.D. FL.	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
EVANS, PETER	85-3059	SD FL	06/26/86	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ALL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CONTRACTS RESCINDED; FULL RESTITUTION ORDERED.
EVERS, HERBERT	86-36	CFTC	09/30/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
EVERSON, ROBERT	97-11	CFTC	07/30/97		4.34(n)(1) 4.34(n)(3)iii 4.35(a)(1)ii 4.35(a)(1)iii 4.35(a)(3)(i) 4.35(a)(6) 4.35(a)(7)(i) 4.36(c)(1) 4.36(d)(2) 4.35(a)(1)ivA 4.35(a)(1)ivB		CEASE & DESIST ORDER
EXECUTIVE CONTROL CORPORATION	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
EXECUTORS MONETARY CORP. OF CALIFORNIA	80-4801	CD CA	03/19/81	4 4b 4h 4m 4o		PERMANENT INJUNCTION	RECEIVER APPOINTED.
EXECUTORS MONETARY CORP. OF LOUISIANA	80-4801	CD CA	03/19/81	4 4b 4h 4m 4o		PERMANENT INJUNCTION	RECEIVER APPOINTED.
EYE CONTACT ADVERTISING	86-5457	CD CA	01/12/87	4m 4o(1)		PERMANENT INJUNCTION	ALSO ENJOINED FROM SECURITIES FRAUD AND SELLING UNREGISTERED SECURITIES.
F. G. HUNTER AND ASSOCIATES	84-3920KH	CD CA	06/18/84	4d(2) 4f(2) 4g(1)	1.35(a) 1.18(b) 1.23 1.31 1.32 1.20(a) 1.17(a) 1.18(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; RECEIVER APPOINTED; NOT TO APPLY AGAIN FOR REGISTRATION AND TO CEASE & DESIST DOING BUSINESS; SUBJECT TO CFTC JURISDICTION.
F.C. & H. INVESTMENT CORP	87-2591HAA	D NJ	11/14/91	4b(A) 4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							INDIVIDUAL INVESTORS.
F.G. HUNTER AND ASSOCIATES	82-35	CFTC	09/16/82	4d(2) 4f(1) 4g(1)	1.12(c) 1.17(a)(3) 1.18(a) 1.18(b) 1.20(a) 1.23 1.31 1.32 1.35(a) 1.46(a) 1.31 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
F.J. REARDON, INC.	75-3	CFTC	12/08/75	4b(A)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FCM 1-2 MO.
F.X. & B., LLC (A NEVADA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
FAHR, GEORGE P.	82-31	CFTC	02/09/83				REG. REVOKED AS AP.
FAIRCHILD, ARABATZIS AND SMITH, INC.	78-52	CFTC	03/05/84	4c(b) 4k	32.3(b) 32.5(a) 32.5(c) 32.5(d) 32.7(e) 32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM, CTA & CPO.
FAIRCHILD, ARABATZIS AND SMITH, INC.	79-1671	SD NY	01/01/84	4b 4c(b) 4c(c) 4k 4o	32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT.
FALCON INVESTMENT CORP.	93-2765	SD NY	01/29/96	4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
FALCONE, ANDREW MARC	SD-85-13	CFTC	11/29/85				ALLOWED TO WITHDRAW REGISTRATION APPLICATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FALK, DANIEL	83-2425SAC	WD TX	02/21/85	4n(3)(A) 4o(1)	1.31 4.23	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
FALK, LAWRENCE GEORGE	83-21	CFTC	12/20/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 18 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 18 MONTHS.
FALKOWITZ, MICHAEL JACOBS	81-19	CFTC	01/11/83	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
FANNING, JAMES V.	83-8018WMH	SD FL	05/12/84 07/19/84	4a		PERMANENT INJUNCTION	CONVICTED OF CRIM. CONTEMPT.
FARACI, MAZIE	81-24	CFTC	08/07/81	4a(2)(B)	150.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
FARLEY, KATHLEEN A.	91-3	CFTC	10/29/91	4b(A) 4c(a)(A) 4b(C) 4c(a)(B) 4b(D) 4g	1.31(a)(1) 1.35(a) 1.38		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 4 MO.; REG. REVOKED AS FB; MAY NOT APPLY TO REGISTER WITH THE COMMISSION IN ANY CAPACITY FOR 18 MONTHS; AFTER 5 YEARS MAY APPLY AS AN AP SUBJECT TO CONDITIONS.
FARMER, W. MICHAEL	85-6	CFTC	01/03/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
FARMERS COOPERATIVE COMPANY	99-6	CFTC	01/12/99	4c(b) 4d(1) 4(a)	1.33(a) 1.55 32.2 32.3 33.3(b)	COMPLAINT FILED	
FARMERS COOPERATIVE COMPANY	99-6	CFTC	3/9/00	4(a) 4c(b) 4d(1)	1.33(a) 1.55 32.2 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO-DEFENDANTS; SHALL MAINTAIN NEWLY ESTABLISHED PROCEDURES.
FARR MAN CLEARING, INC.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
FARR MANN INTERNATIONAL, INC.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
FARRELL, THOMAS JULIAN	92-22	CFTC	07/16/93	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FB; LIQUIDATE ALL POSITIONS BEFORE TP BEGINS; NEVER REAPPLY FOR FB REGISTRATION; NOT TO APPLY FOR REGISTRATION AS FLOOR

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADER DURING 2 YR TP.
FASON, STEWART E.	77-8	CFTC	05/12/86	4b 4o			CEASE & DESIST ORDER PEN. AMNT.: \$75,000; REG. REVOKED AS CTA & AP; AFFIRMED ON APPEAL TO 11 TH CIRCUIT 3/27/87.
FEDERAL GOLD AND SILVER, INC.	80-36	CFTC	10/28/81	8b 4b(A) 4b(C) 4d(2) 4f(1) 4f(2) 4g(1) 6b	1.10(d) 1.10(f) 1.17(a) 1.18(a) 1.18(c) 1.20(a) 1.23 1.32 1.35(a) 1.31 1.32		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM & CTA.
FEDERAL GOLD EXCHANGE COMPANY	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
FEDERBUSH, CHARLES	85-25	CFTC	07/25/86	4d(2) 4f(2)	1.17(a) 1.20(a) 1.20(c) 1.22 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS FB 1-2 MO.; NOT TO REAPPLY FOR REGISTRATION AS FCM FOR 2 YEARS; NOT TO BE AN FCM PRINCIPAL OR OFFICER FOR 2 YEARS.
FEDERBUSH, CHARLES E.	91-7	CFTC	06/25/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A)	1.31 1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB & CTA; MUST LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS; MAY NOT APPLY TO REGISTER WITH THE COMMISSION IN ANY CAPACITY; MAY NOT APPEAR ON ANY CONTRACT MARKET TRADING FLOOR DURING TRADING HOURS.
FEENEY, DAVID	79-1071	D MA	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FEINTUCH, STEVEN J.	78-36	CFTC	08/21/78				REG. DENIED AS AP.
FELSEN, MURRAY P.	89-23	CFTC	08/02/90	4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					166.3		AS AP; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
FENCHURCH CAPITAL MANAGEMENT, LTD.	96-7	CFTC	07/10/96	6(c) 9(a)(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$600,000; COMPLY WITH UNDERTAKINGS AS SET FORTH IN COMMISSION RE: REPORTING CERTAIN FUTURES TRANSACTIONS AND CONDUCTING AN INTERNAL REVIEW OF POLICIES OF PROCEDURES; PAYMENT OF CMP ALSO SETTLES RELATED SEC ACTION.
FENG, JAMES	93-0088	ED NY	08/09/93 03/31/98	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; APPEALED; MOTION FOR SUMMARY JUDGMENT IS GRANTED.
FERGUSON, DAVID H.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
FERGUSON, PHILLIP d/b/a FERGUSON FINANCIAL, B&F TRADING and FIRST INVESTORS GROUP, INC.	1:00CV0300	N.D. IND.	7/20/00	4b(a)(ii) 4m(1)	1.31 4.23	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING MADE; R. DAVID BOYER APPOINTED PERMANENT RECEIVER AND MAINTAINS A BOND IN THE AMOUNT OF \$1,500,000.
FERRAGAMO, RONALD	86-32	CFTC	01/14/91	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; REG. REVOKED AS AP; ALJ OPINION AFFIRMED BY COMMISSION 1/14/91.
FERRARA, LOUIS	79-20	CFTC	04/20/77	4b 4c			PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
FERRARA, LOUIS	76-2095R	CD CA	05/06/77	4b 4c		PERMANENT INJUNCTION	
FERRARA, LOUIS	77-8	CFTC	06/23/77	4b 4c			SEE SANCTIONS IN DOCKET 76-20.
FERRARO, MICHAEL JOHN	SD-94-5	CFTC	02/23/94	8a(3)(D)			CONDITIONAL REGISTRATION AS FT GRANTED; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
FERRELL, JAMES M.	77-12	CFTC	03/08/78	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.; REG. DENIED AS AP.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FETCHENHIER, JOEL J.	91-12	CFTC	06/01/94	4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; APPEALED.
FETCHENHIER, JOEL J.	SD-93-14	CFTC	10/31/97				TRAD. PRIV. SUSP. 120 MO.
FEUILLEBOIS, ROBERT F.	78-52	CFTC	04/27/84	4c(b)	32.3 32.5 32.9		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. DENIED AS AP.
FEUILLEBOIS, ROBERT F.	79-1671	SD NY	01/01/84	4b 4c(b) 4c(c0 4k 4o	32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	
FGL COMMODITY SERVICES, INC.	SD-85-3	CFTC	11/05/84				CONDITIONALLY REGISTERED AS IB.
FIC, INC.	93-2765	SD NY	01/29/96	4o(1) 4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN, ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
FIDELITY FIRST CAPITAL CORP.	80-0689	SD NY	07/19/82	4b		PERMANENT INJUNCTION	
FIDELITY TRADERS GROUP, INC.	2:98CV00216J	CD UT	09/25/98	4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.21(a)	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM VIOLATING 10(b) OF SEA; PROHIBITED FROM TRADING FOR OTHERS; ENJOINED FROM SEEKING REGISTRATIN WITH THE COMMISSION UNDER THE CEA.
FIDELITY TRADERS GROUP, INC.	2:98CV00216J	C.D. UT.	5/22/00	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT AS A FCM, CPO, CTA, IB, FB, FT OR AP.
FIELD, CARMEN J.	3:98CV0281AS	ND IN	12/08/99	4b(a)(i) 4o(1) 4b(a)(ii) 4m(1)	4.20	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA; FIELD & SMITH DISGORGEMENT OF \$880,811.00; DEFENDANTS MAKE RESTITUTION OF \$1,026,965.15; FIELD RESTITUTION OF \$234,561.52.
FIELD, CARMEN J.	3:98CV0281AS	N.D. IND.	12/8/99	4b(a)(i)	4.20	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(ii) 4m(1) 4o(1)			PROHIBITION; FIELD & SMITH DISGORGEMENT OF \$880,811.00; FIELD, SMITH & MARKET CAPITAL GROWTH, INC. JOINTLY OWE RESTITUTION OF \$1,026,965.15; FIELD RESTITUTION OF \$234,561.52. SHALL NOT SEEK REGISTRATION W/ COMMISSION.
FIELD, JOHN A.	SD-95-22	CFTC	05/07/97				REG. REVOKED AS AP
FIENGA, JOSEPH	81-2953	D NJ	09/28/81	4b(A) 4m 4n(1) 4o(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	
FIENGA, JOSEPH	82-4	CFTC	11/20/81	4b(A) 4m 4n(1) 4o(1)	1.10c 1.14 4.31(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.
FIFE, ANDRE D.	96-4593	CD CAL	07/11/96	4b(a)(i) 4o(1) 9(a) 4k(2) 4m(1)	4.20(a) 4.20(b) 4.20(c) 4.41(a) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION OR PROVIDING COMMODITIES ADVICE; COOPERATE WITH COMMISSION.
FINANCIAL ADVISORS, INC.	92-12258	D MA	03/23/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; 75,000 JOINTLY LIABLE & ALL CONTRACTS RESCINDED.
FINANCIAL ALTERNATIVES, INC.	83-44	CFTC	01/10/84	4b(A) 4b(B) 4n(1) 4n(2) 4n(3)(A) 4n(4) 4o(1)	1.10c 1.10d 1.14 3.13 3.31 4.21 4.22 4.23 4.24(b) 4.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
FINANCIAL ALTERNATIVES, INC.	84-768N	D MA	03/26/84			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
FINANCIAL FUTURES TRADING CORP.	86-5457	CD CA		4b		COMPLAINT FILED	
FINANCIAL PARTNERS BROKERAGE LTD.	82-C-5851	ND IL	01/17/86	4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CUSTOMER SOLICITATION; TRADING PROHIBITION.
FINANCIAL PARTNERS, LTD.	82-C-5851	ND IL	01/17/86			PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
FINANCIAL PLANNING ALLIANCE INTERNATIONAL	CV-98-N-1755-S	ND ALA.	07/07/98	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1)(A) 4o(1)(B) 4n(4)	4.20(c) 3.12(a) 4.21 4.22 4.24 4.25 4.26	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
FINANCIAL PLANNING ALLIANCE INTERNATIONAL	CV-98-N-1755-S	N.D AL.	9/28/00	4b(a)(i) 4b(a)(iii) 4k(2) 4o(1)	3.12(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM APPLYING FOR REGISTRATION OR SEEKING EXEMPTION FROM REGISTRATION W/ THE COMMISSION; RESTITUTION OF \$10,849,000 PLUS PRE-JUDGEMENT INTEREST OF AT LEAST \$1,842,780 JOINTLY & SEVERALLY OWED WITH CO-DEFENDANT JAMES MICHAEL HANKS; PREVIOUS ORDERS SHALL EXPIRE UPON ENTRY OF THIS ORDER.
FINANCIAL SERVICES GROUP, INC.	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e) 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NOT TO APPLY FOR REGISTRATION; CIVIL PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWD FUNDS EXCEED CUSTOMER CLAIM.
FINANCIAL TRADING CORPORATION	80-1723	D MD	12/31/80	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	RECEIVER APPOINTED.
FINANCIAL TRADING GROUP	89-21	CFTC	09/13/89	4c(b) 4f 4k 6(b)	3.12(a) 3.15 3.31 33.7(d) 33.7(f) 33.10 166.2		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FINATERI, JOSEPH	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	166.3	PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
FIRST AMERICAN CURRENCY, INC.	85-7871-KN	CD CA	10/15/92	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FIRST AMERICAN INVSTMENT GROUP, INC.	85-1052F	ND TX	11/03/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
FIRST ATLANTIC FINANCIAL SERVICES, INC.	86-H-4366	SD TX	03/09/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES AND DECEPTIVE TRADE PRACTICES LAWS; ALL CONTRACTS RESCINDED; TO JOINTLY PAY TO STATE OF TEXAS \$10,000 FOR COSTS.
FIRST CAPITAL STRATEGISTS	97-14	CFTC	08/13/97	4o(1) 4n(3)(A) 4k(3)	166.3		CEASE & DESIST ORDER; JOINTLY OWED RESTITUTION OF \$2,600,000.
FIRST COMMERCIAL FINANCIAL GROUP	95-10	CFTC	05/20/99	4f(b) 6c	1.17(a)(1) 1.17(a)(4) 1.10(d)(1) 1.12(a)(1) 1.12(a)(2) 1.12(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000; REG. REVOKED AS FCM.
FIRST COMMODITY CORPORATION OF BOSTON	76-4051-M	D MA	11/11/76	4c(b) 4d(2) 4f(2) 4g(1) 4o(1)	30.01 1.17 1.20 1.31 1.32 1.33	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FIRST COMMODITY CORPORATION OF BOSTON	79-28	CFTC	10/15/80	4c(b) 4c(c) 4b 4o(1)	1.19 32.3(b) 32.5(a) 32.6(a) 32.7(e) 32.9 32.11 32.5(c) 32.5(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$600,000; LESS REPARATION PAYMENTS TO CUSTOMERS.
FIRST COMMODITY CORPORATION OF BOSTON	80-2639	D DC	10/16/80	4b(A) 4o(1) 4c(b) 4c(c)	1.19 32.9 31.03	PERMANENT INJUNCTION	TO SERVE ALL SALES STAFF WITH COPY OF ORDER.
FIRST COMMODITY CORPORATION OF BOSTON	86-6	CFTC	07/26/89	4b	166.3		CEASE & DESIST ORDER; REG. REVOKED AS FCM; NEVER TO SEEK REGISTRATION.
FIRST CONTINENTAL COMMODITIES, INC.	83-C-4994	ND IL	10/14/83	4g(1) 4b(A) 4b(B) 4b(D) 4d(1) 4d(2)	166.2 1.20(a) 1.31(a) 1.35	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
FIRST DOVER COMMODITIES, LTD.	77-19	CFTC	06/26/80	4o(1) 4f(2)	30.02 1.17		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
FIRST FINANCIAL TRADING, INC.	00-35	CFTC	9/28/00	4c(b)	33.10 166.3	COMPLAINT FILED	
FIRST FUTURES GROUP, INC.	SD 98-1	CFTC				COMPLAINT FILED	
FIRST INTERNATIONAL COMMODITIES GROUP, INC.	86-72878DT	ED MI	08/18/87	4(a)		PERMANENT INJUNCTION	RECEIVER APPOINTED.
FIRST INTERNATIONAL METALS, INC.	85-6704	SD FL	09/17/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED; ACCOUNTING ORDERED.
FIRST MANHATTAN COMMODITIES CORPORATION	84-42	CFTC	04/03/85	4b(A) 4o(1)	4.31(a) 4.31(b) 4.31(d) 4.31(e)(2) 4.31(f)(1)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
FIRST NATIONAL BULLION CORPORATION	79-0827	SD NY	10/05/82	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	
FIRST NATIONAL MONETARY CORPORATION	83-2533DT	ED MI	02/07/86	4o(1)		PERMANENT INJUNCTION	TO SERVE ORDER ON ALL OFFICERS AND SALES STAFF.
FIRST NATIONAL MONETARY CORPORATION	86-4	CFTC	01/24/86	4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$225,000.
FIRST NATIONAL TRADING CORPORATION	90-28	CFTC				COMPLAINT FILED	
FIRST NATIONAL TRADING	92-17	CFTC	08/24/93	4f(2)	1.17(a)		CEASE & DESIST ORDER; REG.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CORPORATION				4c(b)	1.12(a) 1.18(a) 1.10(d) 33.10 166.3		REVOKED AS FCM
FIRST NEW YORK COMMODITY OPTIONS, LTD.	77-5	CFTC	02/10/78	4c(b) 4o(1) 4o(2)	32.9		CEASE & DESIST ORDER; TO WITHDRAW FROM REGISTRATION AS FCM AND CTA AND NOT REAPPLY FOR 1 YEAR.
FIRST NEW YORK INVESTORS CORPORATION	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
FIRST OPTIONS OF CHICAGO	99-3	CFTC				COMPLAINT FILED	
FIRST OPTIONS OF CHICAGO, INC.	99-3	CFTC	1/27/00	4g	1.35(a) 1.35(a)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$40,000; SHALL MAINTAIN COMPLIANCE PROCEDURES IMPLEMENTED DURING PROCEEDINGS OR OTHER PROCEDURES DESIGNED TO ENSURE TIMELY RESPONSES TO REGULATORY REQUESTS FOR RECORDS; DISMISSED.
FIRST PULLEN COMMODITY SERVICES	89-20	CFTC	03/20/90	4d(2) 4f(2) 6(b)	1.10(d) 1.17(a) 1.20(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS IB; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
FIRST REGAL COMMODITIES INCORPORATED	78-1335	SD FL	04/20/79	4c(b)	1.31 32.6 3.27	PERMANENT INJUNCTION	
FIRST REGAL COMMODITIES INCORPORATED	79-37	CFTC	05/22/85	4(b)	1.31 32.6 32.7		CEASE & DESIST ORDER.
FIRST REPUBLIC FINANCIAL CORP.FIRST REPUBLIS TRADING CORP.	94-14	CFTC	08/19/99				PETITION TO STAY THE EXECUTION OF CIVIL MONETARY PENALTY SANCTIONS IMPOSED IN 7/19/99 ORDER, AFFIRMING ALJ'S INITIAL DECISION IS DENIED.
FIRST UNION TRUST CORPORATION	86-72878DT	ED MI	08/18/87	4(a)		PERMANENT INJUNCTION	RECEIVER APPOINTED.
FIRST UNITED INVESTMENT CORPORATION	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
FIRST WALL STREET SETTLEMENT CORPORATION	80-18	CFTC	04/01/80	4g(1)	1.35(a) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500 JOINTLY OWED.
FIRST WORTHINGTON FINANCIAL CORPORATION	81-2250-W	WD TN	06/10/81	4 4H 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(C) 4o(1)			ACCOUNTING ORDERED.
FISCHER, ALEXANDER	78-20	CFTC	06/07/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
FISHBERG, SAM	80-32	CFTC	12/02/85	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$4,500 JOINTLY OWED; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
FISHER, HAIG	86-6	CFTC	02/26/93	4b(A) 166.3			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; REG. REVOKED AS AP; ALJ OPINION SUMMARILY AFFIRMED.
FISHER, MARK B.	93-2	CFTC	05/05/99	4b(A) 4b(B) 4b(C) 4c(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$350,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB.
FITC, INC.	85-1555	ND CA	03/03/86	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
FITZGERALD, LEIZA	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3	COMPLAINT FILED	
FITZGERALD, RAYMOND JR.	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3	COMPLAINT FILED	
FLANIGAN, JOSEPH B.	00-6885	S.D. FL.	9/11/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JUDGEMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT IS ENTERED JOINTLY & SEVERALLY. CFTC SHALL PRESENT PROPOSED ORDER OF JUDGEMENT WITHIN 90 DAYS. PERMANENTLY RESTRAINED & ENJOINED FROM: 1) ACTING IN ANY CAPACITY, INCLUDING IN AN EXEMPT CAPACITY, AS A FCM, CPO, CTA, IB, FB, FT OR AP; 2) SEEKING APPLICATION FOR REGISTRATION W/ COMMISSION

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							IN ANY CAPACITY. GERALD B. WALD SHALL CONTINUE AS PERMANENT RECEIVER.
FLAVALL, BERNADETTE a/k/a BERNADETTE VIELE	00-27	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMPLAINT FILED	
FLAXMAN, STEVEN D.	79-32	CFTC	02/22/82	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP; AFFIRMED ON APPEAL BY 7 TH CIRCUIT.
FLEISHMAN, ALAN STEVEN	SD-98-1	CFTC				COMPLAINT FILED	
FLOWERS, ELLEN HUNT	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
FLOWERS, LUCIA C.	88-8	CFTC	02/11/88	4i 6(b)	18.04(a)(5) 18.04(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
FLOWERS, RICHMOND M. JR.	88-8	CFTC	02/11/88	4i 6(b)	18.04(a)(5) 18.04(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000.
FLYNN, JOHN J.	84-12	CFTC	05/22/85	4c(a)(A)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; SUSP. AS FB 120 MO.
FLYNN, JOHN J.	87-5	CFTC	05/20/91	6(b) 8b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; INITIAL DECISION AFFIRMED WITHOUT OPINION.
FOGAL, RONALD R.	87-14	CFTC	04/26/88	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRADING PRIVILEGES REVOKED; NOT TO ACT IN A CAPACITY REQUIRING REGISTRATION.
FOREMAN, SAMUEL H.	97 C 7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN, STEVENS & MUNN JOINTLY & SEVERALLY OWE RESTITUTION OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
FORMA, JOHN	77-1822LPG	SD NY	12/12/78	4c(b)	32.3(a) 32.3(b) 32.9	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS.
FORRESTER, FRANK	84-29	CFTC	05/28/85	4m(2)	1.10c 1.10d		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.14		PRIVILEGES REVOKED.
FORRESTER, MICHAEL	83-3	CFTC	02/14/84	4d(2) 4b(A)	1.22		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.; 6 MONTHS TRADING SUSPENSION HELD IN ABEYANCE.
FOSTER, DOUGLAS	2:98CV00216J	CD UT	08/18/99	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24 4.21(a)	PERMANENT INJUNCTION	STOP CUSTOEMR SOLICITATION; TRADING PROHIBITION; DEFENDANTS PERMANENTLY RESTRAINED; ENJOINED AND PROHIBITED FROM DIRECTLY OR INDIRECTLY: 1) ACTING AS FCM, CPO, CTA, IB, FB, FT OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION WITH COMMISSION; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; CIVIL MONETARY PENALTY NOT ORDERED BASED ON SWORN FINANCIAL STATEMENT.
FOSTER, ROBERT M.	79-41	CFTC	08/31/82	4c(b) 4c(c0)	32.11		CEASE & DESIST ORDER.
FOX, BRIAN D.	89-5	CFTC	10/19/90				APPEALED.
FOX, GEORGE JULIAN JR.	90-29	CFTC	05/30/91	4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 4 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION FOR 6 YEARS, EXCEPT TO TRADE ON FLOOR IF REQUIRED; MUST COOPERATE WITH THE DIVISION OF ENFORCEMENT; MUST LIQUIDATE ALL FUTURES & OPTION POSITIONS.
FOX, OWEN JR.	78-58	CFTC	01/29/79				REG. DENIED AS AP.
FOX, TIMOTHY SCOTT	95-6	CFTC	03/19/97	4b(a)(iii)			CEASE & DESIST ORDER; PAY RESTITUTION OF \$7,280.00 PLUS INTEREST FROM 9/17/91 TO THE DATE OF PAYMENT; REGISTRATION SUBJECT TO MULTIPLE RESTRICTIONS OF THE ORDER; LIQUIDATE THE FUTURES & OPTIONS POSITIONS.
FRAITES, JOSEPH LAWRENCE	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							MONETARY PENALTY OF \$15,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR A TWO YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
FRALEY, JAMES M.	78-120A	ND GA	01/26/78	4f 4g	1.17 1.18 1.32	PERMANENT INJUNCTION	
FRANGIA INTERNATIONAL, INC.	91-C3262	ND IL	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; COSTS AWARDED.
FRANK, BILL MARTIN	87-2591HAA	D NJ	11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS.
FRANK, EDWARD L.	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
FRANK, RICHARD A.	84-24	CFTC	04/30/85	4a(2)(B)	1.38(a)		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i 6(b)	150.12 18.00 18.01(a)		AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 1 MO. OR LESS.
FRANKLAND COMMODITIES CORP.	78-45	CFTC	08/02/79	4f(1) 4f(2) 4g	1.17 1.18 1.32		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
FRANKLAND COMMODITIES CORPORATION	78-120A	ND GA	01/26/78	4f 4g	1.17 1.18 1.32	PERMENANT INJUNCTION	
FRANKLIN THOMAS INVESTMENTS, L.P.	1:99-CV-0967	ND GA	04/15/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	COMPLAINT FILED	
FRANKLIN, WARREN R.	86-0032-D	WD VA	06/03/86	4m 4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
FREDERICK, DAVID	83-1591EBD	SD FL	02/07/86	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT
FREDERICKS, GARY	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
FREDRICKS, GARY	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
FREEBURG, MICHAEL	SD-92-5	CFTC	09/29/92	8a(3)(M)			FLOOR BROKER REGISTRATION RESTRICTED FOR 1 YEAR; MAY NOT EXERCISE DISCRETIONARY AUTHORITY; MAY NOT ACT AS FB UNLESS SUBJECT TO SPONSOR CERTIFICATION; MAY NOT SERVE ON SRO DISCIPLINARY COMMITTEE.
FREEDMAN, LEONARD IRWIN	76-928	SD NY	03/03/76	4c(b)	30.01	PERMANENT INJUNCTION	
FREEHLING & COMPANY	85-36	CFTC	04/02/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
FRIEDMAN, ALLAN M.	80-27	CFTC	02/27/87	4b 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$45,000; TRAD. PRIV. SUSP. 60 MO.
FRIEDMAN, DOUGLAS M.	90-14	CFTC	10/30/91	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000P; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MAY NOT APPLY TO REGISTER WITH THE COMMISSION FOR 3 YRS., BUT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							MAY REGISTER AS FLOOR TRADER IN 18 MONTHS; MUST LIQUIDATE ALL POSITIONS.
FRIEDMAN, DOUGLAS MARC	SD-94-1	CFTC	10/25/93				FT REGISTRATION SUBJECT TO CONDITIONS FOR ONE YEAR.
FRIEDMAN, HOWARD	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(a) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
FRIEDMAN, RAY E.	90-21	CFTC	03/04/92	4a 4g(1)	1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 1-2 MO.; REG. REVOKED AS FB; MUST LIQUIDATE ALL FUTURES & OPTIONS POSITIONS; PROHIBITED FROM TRADING PORK BELLY FUTURES AND OPTIONS FOR 8 MONTHS.
FRIEDMAN, ROBERT	SD-94-16	CFTC	09/02/94	8a(3)(D) 8a(2)(A) 8a(3)(A) 8a(3)(M)			CONDITIONALLY REGISTERED AS FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING 9/2/94.
FRIEDMAN, ROBERT I.	83-60	CFTC	12/07/83				REG. REVOKED AS FB.
FRIEDMAN, ROBERT I.	84-11	CFTC	06/20/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
FRIEDMAN, S. DAVID	98CIV2908	SD NY	05/07/98	4b(a)(i) 4o(1) 9(a)(1) 4m(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; REPATRIATED FUNDS SHALL BE DEPOSITED IN AN ACCOUNT DESIGNATED BY THE CLERK OF COURT, S.D.N.Y.
FRITH, ROBERT E. JR.	97-14	CFTC	08/13/97	4o(1) 4k(3)	166.3		CEASE & DESIST ORDER; RESTITUTION OF \$2.6 MILLION JOINTLY OWED; WILL NOT APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGULATES.
FRITTS, J. GARY	94-12	CFTC	11/02/94	4b(a)(i) 4b(a)(ii) 4m 4n(3)(A) 4o(i) 9(a)(1)	1.31 4.20(a) 4.20(b) 4.20(c) 4.23		CEASE & DESIST ORDER; PEN. AMNT.: \$320,000; TRADING PRIVILEGES REVOKED; EFFECTIVE AS FINAL ORDER 12/05/94.
FRPM INVESTMENTS C.V.	90-30	CFTC	03/12/91	4i 6(b)	18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; MUST NOTIFY DIRECTOR OF ENFORCEMENT WHEN HE BEGINS TRADING; MUST KEEP BOOKS & RECORDS.
FSI FUTURES INC.	95-8	CFTC	01/08/98	4o(1)(A)	1.46 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000.
FSI FUTURES INC.	95-9	CFTC	01/08/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	1.46 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000.
FSI FUTURES, INC.	85-37	CFTC	04/29/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
FTI FINANCIAL GROUP	97C7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN, STEVENS & MUNN JOINTLY & SEVERALLY OWE RESTITUTION OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
FUGITT, B. GENE	80-2082	WD TN	04/23/82	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FUHRMAN, MARK E.	89-14	CFTC	08/02/89	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
FULLER, KENNETH S.	78-10	CFTC	01/27/81	4g	1.35		SUSP. AS AP 1 MO. OR LESS.
FURLETT, NORMAN K.	89-1	CFTC	08/11/92	4b(A) 4b(C) 4g	1.38 1.35(a-1)(2) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
FURST, ROBERT D. JR.	89-5	CFTC	10/19/90				APPEALED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FUTURE SOURCE INFORMATION SYSTEMS	95-6221	SD FL	06/20/96			COMPLAINT FILED	
FUTURE SOURCE INFORMATION SYSTEMS, INC.	96-6	CFTC	06/20/96	4b(a)(i) 4m(1) 4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)		CEASE & DESIST ORDER; OSTER & FSIS WILL NOT USE INTERSTATE COMMERCE WHILE ENGAGING IN THE BUSINESS OF ADVISING OTHERS FOR PROFIT, AS TO THE ADVISABILITY OF TRADING IN COMMODITY FUTURES OR OPTION CONTRACTS, WITHOUT BEING REGISTERED AS A CTA.
FUTURES PROFIT MAKING, LLC	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
G & C INTERNATIONAL, LTD.	91-C3262	CFTC	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
G & C INVESTMENTS, LTD.	91-C3262	ND IL	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
G. STEWART AND ASSOCIATES, INC.	78-43	ND IL	08/03/78				REG. REVOKED AS CPO.
G.H. MILLER AND COMPANY	84-41	CFTC	04/18/85	4b 4g	1.31 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000.
GABER, DAVID DICKSON	SD-91-1	CFTC	01/15/91				CONDITIONALLY REGISTERED AS FLOOR BROKER; NOT TO ACT AS PRINCIPAL, PARTNER, OFFICE DIRECTOR, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED WITH THE CEA; NOT TO EXERCISE SUPERVISORY AUTHORITY OVER ANYONE REGISTERED UNDER THE ACT; MAY NOT DIRECTLY OR INDIRECTLY EXERCISE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							DISCRETIONARY TRADING AUTHORITY OVER CUSTOMERS' ACCOUNTS; MAY NOT TRADE FOR HIS OWN ACCOUNT; MUST BE EMPLOYED BY ANOTHER COMMISSION REGISTRANT AND RECEIVE ORDERS FOR CUSTOMER ACCOUNTS ONLY.
GABRIEL BROKERAGE, INC. GAFFNEY, JOHN K.	83-8049RLC SD-91-2	SD NY CFTC	10/16/84 03/06/91	4d(2)	1.20(a)	PERMANENT INJUNCTION	CONDITIONALLY REGISTERED AS FB; MAY NOT ACT AS A PRINCIPAL OR PARTNER OR SUPERVISOR DIRECTLY OR INDIRECTLY; MAY NOT EXERCISE DISCRETIONARY TRADING OVER CUSTOMER ACCOUNTS; THESE CONDITIONS REMAIN IN EFFECT FOR 2 YEARS.
GALE, PATRICIA	96-74525	ED MI	09/30/96	4b(a)(i) 4b(a)(ii) 4m 4k(2) 4o(1)(B) 9(a)(1) 4n(4)	4.20(c) 4.21(a) 4.21(b) 4.22	COMPLAINT FILED	
GALE, WILLIAM ALAN	94-16	CFTC	08/12/94	4b(a)(i) 4c(b)	33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; COOPERATE WITH THE DIVISION OF ENFORCEMENT.
GALGANO, THOMAS S.	85-23	CFTC	05/30/86	4b(A) 4c(b) 4o(1)	4.41(a) 33.3(a) 33.10(a) 33.10(c) 4.31 4.41(b)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GALLIGANO, MICHAEL A.	83-48	CFTC	03/14/84	4b 4n 4o	4.20 4.21 4.22 4.23		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 90 MO.; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS; PEN. AMNT.: \$20,000 LESS PAYMENTS TO CUSTOMERS.
GALLIGANO, MICHAEL A.	84-4181MRP	CD CA	06/06/84	4b 4n 4o	4.21 4.22 4.20	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; CONVICTED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					4.23		OF CRIM. CONTEMPT.
GALLNER, ROBERT	8406717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
GAMBER GRAIN	85-38	CFTC	06/25/87		21.02		PEN. AMNT.: \$500.
GANDOLFO, JOHN P.	93-2	CFTC	03/07/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
GANGEMI, PAUL J.	97-14	CFTC	08/13/97	4o(1)	166.3		CEASE & DESIST ORDER; RESTITUTION OF \$2.6 MILLION JOINTLY OWED; WILL NOT APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION REGULATES.
GANNON, JAMES P. III	92-18	CFTC	07/27/92	4b(A) 4c(b) 9(a)	33.10(a) 166.2		CEASE & DESIST ORDER; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION FOR 10 YEARS.
GARCIA, BERTHA	86-26	CFTC	07/25/86	9(a)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
GARFIELD SUN HING BULLION	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY TO REGISTER.
GARFIELD SUN HING BULLION LIMITED	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
GARRITY, JAMES MICHAEL	95-6	CFTC	03/19/97	4b(a)(i) 4b(a)(iii) 4g(a)	1.31(a)(1) 1.35(a)		CEASE & DESIST ORDER; TRADING IS SUSPENDED FOR 45 DAYS; REGISTRATION AS A FB IS CONDITIONAL; PAY RESTITUTION OF \$2,616.00 PLUS INTEREST FROM 9/17/91 TO THE DATE OF PAYMENT; REGISTRATION IS SUBJECT TO MULTIPLE RESTRICTIONS OF THE ORDER; LIQUIDATE ALL FUTURES AND

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OPTIONS POSITIONS.
GARY BRUCE ANDERSON TRUST	95-C-5422	ND IL	09/22/95	4b(a)(i) 4b(a)(ii) 4d(1) 4d(2) 4m(1) 4o(1) 9(a)(1)		RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
GASSER, HENRY	89-27	CFTC	01/16/92	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; MUST LIQUIDATE ALL POSITIONS PRIOR TO COMMENCEMENT OF TRADING BAN.
GATH, DANIEL MICHAEL	SD-94-12	CFC	08/20/96				APPEALED; FT DENIED.
GCC TRANSFER CORP.	89-11	CFTC	12/19/89		1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
GEARTNER, STEPHEN	82-2062	SD FL	01/25/84	4o(1)		PERMANENT INJUNCTION	
GEARTNER, STEPHEN	84-19	CFTC	01/10/84	4o(1)			CEASE & DESIST ORDER; SUSP. AS AP 30 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 ½ YEARS.
GEISSLER, ROGER	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; THREE MONTH TRADING PROHIBITION HELD IN ABEYANCE.
GELBSTEIN, STEVEN	92-21	CFTC	02/25/98	4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 120 MO.; ON APPEAL.
GELDERMANN, INC.	88-17	CFTC	06/07/88	4g 4i	17.00 17.01 17.02		CEASE & DESIST ORDER; PEN. AMNT.: \$33,000.
GELDERMANN, INC.	94-13	CFTC	11/10/98	4c(a)(A)	1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$325,000.
GENESIS INVESTMENTS CORPORATION	86-H-4366	SD TX	03/09/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES & DECEPTIVE TRADE PRACTICES LAWS; ALL CONTRACTS RESCINDED TO

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							JOINTLY PAY TO STATE OF TEXAS \$10,000 FOR COSTS.
GENOVESE, FRANK JR.	86-35	CFTC	04/22/87	4b(A) 4o(1)	4.41(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA, CPO & AP.
GENOVESE, FRANK JR.	79-26	CFTC	01/06/82	4c(b)	32.5		CEASE & DESIST ORDER.
GENOVESE, FRANK JR.	79-53	CFTC	07/17/79				CONSOLIDATED WITH 79-26.
GENOVESE, KAREN T.	83-5909WK	SD NY	02/19/85	4b(A) 4o(1)	4.41(a)	PERMANENT INJUNCTION	
GENOVESE, KAREN T.	86-35	CFTC	04/22/87	4b(A) 4o(1)	4.41(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & AP.
GENT, J. MICHAEL	97-CIV-3119	SD NY	10/13/98				ACTION AGAINST MICHAEL GENT IS DISMISSED.
GERAGHTY, JOHN J.	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 6 MO.
GERAGHTY, JOSEPH M.	SD-96-9	CFTC	08/07/96	8a(3)(E)			CONDITIONALLY REGISTERED AS FB; CONDITIONS REMAIN IN EFFECT FOR 2 YEARS EXCEPT SPONSOR CERTIFICATION IN EFFECT FOR 1 YEAR.
GERALD, INC.	91-3	CFTC	10/16/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.35(a-1)(2) 1.35(a-1)(4) 1.38(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.
GERALD, INC.	93-4	CFTC	02/17/93	4f(1) 4f(2)	1.10(d) 1.17(a) 1.17(d) 1.56(b)(3)		CEASE & DESIST ORDER; PEN. AMNT.: \$65,000.
GERDES, HERMAN	98-4	CFTC	10/4/99			ALJ DECISION	10 YEAR TRADING PROHIBITION; RESPONDENTS FILE NOTICE OF APPEAL ON 9/28/99, DOE FILES NOTICE OF APPEAL ON 10/4/99.
GERSTENBERG AND COMPANY, INC.	83-3	CFTC	02/14/84	4d(2) 4b(A)	1.22		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
GERVAIS, RAINALD A.	82-42	CFTC	04/12/84	4k(1) 4d(2) 4f(1) 4f(2) 4g(1)	1.10(b) 1.12 1.17(a)(1) 1.20(a) 1.23 1.32 1.33 1.35(a)		CEAST & DESIST ORDER; PEN. AMNT.: \$2,500.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GETSON, PHILIP M.	84-20	CFTC	01/30/87	4b(B) 4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; SUSP AS FB 6 MO.
GHOLSON, BARRY D.	87-9	CFTC	04/15/87	4b 4o 4m			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
GHUN, HAK	81-13	CFTC	06/13/86	4b(A) 4o(1)	4.21(a) 4.21(b) 4.31(a) 4.31(b)		CEASE & DESIST ORDER; PEN. AMNT: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GIARLETTA, PAUL A.	91-7	CFTC	06/25/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MAY NOT APPEAR ON CONTRACT MARKET TRADING FLOOR DURING TRADING HOURS; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
GIARRITANO, JOSEPH	SD-86-3	CFTC	08/07/86	8a(3)(J)			REG. REVOKED AS FB.
GIBSON, DAVID	99-14	CFTC	08/09/99	4d(2) 4g 6(c)	1.10 1.18 1.20(a) 1.20(c) 1.31 1.32 1.33 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED.
GILCHRIST, CHARLES E.	83-58	CFTC	01/25/91	4c(a)(B)	1.38		PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 3 MO.; ALJ DECISION OF 10/15/85 AFFIRMED IN PART AND VACATED IN PART; APPEAL TO 7 TH CIRCUIT WITHDRAWN ON 10/15/91.
GILKESON, CLARENCE V.	80-22	CFTC	10/21/83	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GILLEN, KENNETH N.	89-15	CFTC	08/02/89	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.; TO MAKE FULL RESTITUTION TO CUSTOMERS.
GILLIAM, PETER M.	89-11	CFTC	4 4b(A) 4b(B) 4b(C) 4b(D) 4h				CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NOT TO SEEK REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION FOR 2 YEARS.
GILLIS, ARTHUR	81-24	CFTC	10/28/81	4a(2)(B)	150.10		CEASE & DESIST ORDER; TRAD.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i 6(b)	18.04		PRIV. SUSP. 24 MO.
GIMBEL, STUART N.	84-20	CFTC	04/10/89	4c(a)(A) 4i 6(b)	1.38(a) 18.00 18.01(a) 18.04(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
GIRARD, RAYMOND C. E.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
GLASS, BRADLEY	82-16	CFTC	03/25/82	4 4h 4c(b) 4c(c) 4m	32.11 166.3		CEASE & DESIST ORDER; TO DISSOLVE CORPORATE RESPONDENTS AND NOT APPLY FOR REGISTRATION AS CPO OR CTA FOR 1 YEAR.
GLASS, BRADLEY	82-6203	SD FL	04/15/82	4c(b) 4c(c)	32.11 166.3	PERMANENT INJUNCTION	
GLASS, GARY	80-28	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4b 4d 4g	1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION FOR 5 YEARS; DISMISS APPEAL & APPEAL OF TGT & AT 2 ND CIRCUIT; ALSO SETTLES #80-31.
GLASS, GARY	80-31	CFTC	04/18/91				SEE DOCKET #80-28.
GLASS, GARY	80-32	CFTC	08/22/86	4c(a) 4b(D)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; SUSP. AS FB 1 MO. OR LESS.
GLASS, GARY	93-4	CFTC	04/27/98	4c(a)(A) 4c(a)(B) 4g(1)	1.38(a) 1.31(a) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRADING PRIVILEGES REVOKED; REGISTRATION WAS ALREADY REVOKED IN 1991.
GLASSMAN, RICK	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
GLATTER, JOSEPH	79-3371	SD NY	10/22/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
GLAZER, STANLEY	85-6936	SD FL	01/24/86	4c(b) 4c(c)	33.3(a) 32.11(a) 33.10 32.9	PERMANENT INJUNCTION	DISGORGEMENT; PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					33.3(b)(1) 33.7(b) 33.7(a)		
GLENN W. CAAN, INC.	86-21	CFTC	11/10/87	4b(A)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 180 MO.; NOT TO APPLY FOR REGISTRATION FOR 15 YEARS; ALSO PROHIBITED FOR 15 YEARS FROM (1) DIRECTING ANY FUTURES OR OPTIONS TRADING; (2); ENGAGING IN BUSINESS OF ADVISING OTHERS AS TO SUCH TRADING; (3) SOLICITING OR ACCEPTING FUNDS FOR SUCH TRADING.
GLOBAL BULLION	92-259	ED NY	03/05/93	4(a) 4b(A) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NOTICE OF COMPLAINT TO ALL OFFICERS, EMPLOYEES & AGENTS.
GLOBAL CURRENCIES, LTD.	97-13	CFTC	2/8/00	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iv) 4d(2) 4k(1) 9(a)(1)	1.20 3.12(a)	ALJ ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$3,729,638.79; 2/8/00 DECISION BECAME FINAL ORDER OF COMMISSION ON 3/9/00.
GLOBAL FUTURES EXCHANGE & TRADING CO.	00-14	CFTC	5/1/00	4b(a)(i) 4b(a)(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
GLOBAL LINK MIAMI CORPORATION	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
GLOBAL MINERALS & METALS CORP.	99-11	CFTC	05/20/99	6(c) 6(d) 9(a)(2)		COMPLAINT FILED	
GLOBALMARK CORPORATION	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$2,947,360.41 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
GLOBEX BULLION & FINANCIAL SERVICES CORP.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$2,947,360.41 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
GLORY FUND I, INC.	96-10421	I	11/05/97	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(c) 4.41(a)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
GLORY FUND L.L.C.	96-10421	I	11/05/97	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(c) 4.41(a)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
GLOVER, THOMAS, II	00-35	CFTC	9/28/00	4c(b)	33.10	COMPLAINT FILED	
GLOWATZ, MARK	89-11	CFTC	12/19/89	4 4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4g(1) 4h	1.35(a-1) 1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRAD. PRIV. SUSP. 1-2 MO.; NOT TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 60 DAYS./
GNAIZDA, DAVID	84-30	CFTC	02/12/85	4b			CEASE & DESIST ORDER; REG. REVOKED AS AP; PROHIBITED FROM TRADING EXCEPT FOR OWN ACCOUNT.
GNOME INVESTMENTS, LTD.	79-828	D AZ	05/18/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
GNP COMMODITIES, INC.	89-1	CFTC	08/11/92	4b(A) 4b(C) 4g	166.3 1.38 1.35(a-1)(2) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FCM; EFFECTIVE DATE OF SANCTIONS: 10/11/92.
GNP COMMODITIES, INC.	92-13	CFTC	12/17/91	4c(b)	33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.
GNP COMMODITIES, INC.	92-14	CFTC	01/31/92	4b(A) 4c(b)	1.31(a)(2) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4g	33.10(a) 166.2 166.3		
GOBERSTEIN, HOWARD J.	90-17	CFTC	08/21/90	4b(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; HAVE CONTRACT MARKET MEMBERSHIP, OR APPEAR ON FLOOR DURING TRADING HOURS.
GODRES, ROSS R.	99-13	CFTC	06/24/99	4b(a)(i) 4b(a)(ii) 4o(1)	4.13(b)(2)(i)		CEASE & DESIST ORDER; TRADING PROHIBITION; RESTITUTION; NEVER APPLY FOR REGISTRATION OR ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
GOLD INTERNATIONAL, INC.	79-1406	SD FL	10/23/85	4c(b) 4c(c)	32.11 32.9 32.3	PERMANENT INJUNCTION	
GOLD, GEALD	79-1085	ND TX	07/03/79	4c(c) 4c(b)	32.6 32.9 32.11	RESTRAINING ORDER	FREEZE OF ASSETS.
GOLD, GERALD	84-26	CFTC	03/15/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER.
GOLD, PHILLIP H.	79-1406	SD FL	10/23/85	4c(b) 4c(c)	32.11 32.9 32.3	PERMANENT INJUNCTION	
GOLD, PHILLIP H.	84-33	CFTC	05/07/84				REG. REVOKED AS AP.
GOLD, PHILLIP H.	85-1	CFTC	05/21/85	4b(A) 4o(1)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
GOLDBERG, MICHAEL J.	3-93-0975	MD TN	01/10/95	4b(a)(i) 4o(1) 9(a)(1) 4m(1)		PERMANENT INJUNCTION	DISGORGEMENT.
GOLDBLATT, DAVID M.	85-50	CFTC	02/27/87	4d(1) 4m	1.7 4.20 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000 JOINTLY OWED.
GOLDENBERG, ALAN	SD-85-8	CFTC	06/07/85				SUSP. AS FB 6 MO.
GOLDER, GERALD DAVID	89-23	CFTC	05/04/90	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
GOLDEX INTERNATIONAL LIMITED	79-1436	ND IL	12/08/80	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
GOLDEX INVESTMENT, INC.	90-3034	ND CA	09/10/91	4(a) 13(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(A) 4b(B)			CUSTOMER SOLICITATION.
GOLDINGER, S. JAY	99-11543 WMB	C.D. CAL.	11/12/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4g 4o(1)	33.10(a) 33.10(b) 33.10(c) 1.35(a-1)(1)	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY OWE DISGORGEMENT OF \$6,000,000 W/ CO-DEFENDANTS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
GOLDMAN, SALLY E.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GOLDSCHMIDT, ALLEN M.	77-2678EW	SD NY	05/19/78	4c(b) 4k 4o(1)	30.01 32.3 32.8	PERMANENT INJUNCTION	
GOLDSTAR PETRO-AMERICA	91-3289	ED PA	09/03/91	4d	33.3	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
GOLDSTEIN, DANIEL	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ENJOINED FROM TRADING PETROLEUM FUTURES.
GOLDSTEIN, HAROLD D.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS ; ACCOUNTING ORDERED; ENJOINED FROM TRADING PETROLEUM FUTURES; APPEALED; AFFIRMED ON APPEAL TO 9 TH CIR.
GOLDSTEIN, MICHAEL	80-315	SD FL	05/29/81	4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; PROTECT BOOKS & RECORDS; TO REMIT \$4,000 TO BANKRUPTCY TRUSTEE FOR CUSTOMERS.
GOLEMBESKI, ROBERT W.	84-1	CFTC	02/13/85		1.10d 1.14		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS CTA; NOT TO REAPPLY FOR CTA REGISTRTION FOR 2 YEARS.
GOLLIN, LAWRENCE JEROME	88-6958	SD FL	10/11/89	4c(b) 6(b)	33.7(f) 33.10	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f 4k	166.2 3.15 3.31 3.12(a) 166.3 33.7(d)		
GOLLIN, LAWRENCE JEROME	89-21	CFTC	09/13/89	4c(b) 4f 4k 6(b)	3.12(a) 3.15 3.31 33.7(d) 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GOLUBOWSKI, DENNIS J.	92-7158	SD FL	08/09/94	4m 4o 4d(1) 4k(1) 4k(2) 4b(i) 4b(ii) 4c(b)	4.13 3.12 33.10 4.21	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; COOPERATE WITH COMMISSION; RESTITUTION OF AT LEAST \$22,998,711; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
GOMEZ, OSCAR	81-2250-W	WD TN	05/06/86	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
GONDAY, RICHARD G.	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
GOODMAN, MARVIN J.	91-6186	SD FL	09/27/91	4m 4o 4d(1) 4b 4c(b)	4.13 33.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ON 2/8/92, A CUPPLEMENTAL ORDER WAS SIGNED PERMITTING THE GOODMAN TRUSTEE TO MAKE DISTRIBUTIONS; ANOTHER SUPPLEMENTAL ORDER WAS ISSUED ON 10/2/92 CONTINUING THE FREEZE OF ASSETS UNTIL ALL DISTRIBUTIONS ARE MADE TO CUSTOMERS.
GOODMAN-MANASTER & COMPANY	84-45	CFTC	10/16/84	4d(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
GOODMAN-MANASTER & COMPANY	85-50	CFTC	09/30/85	4g	1.35 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
GOOSSEN, JERRY	SD-86-1	CFTC	12/30/86				REG. REVOKED AS CTA.
GORDON, KEITH R.	90-19	CFTC	03/06/95	4c(b)			CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AMNT.: \$200,000; REG. REVOKED AS AP; RESPONDENT FILES PETITION FOR REVIEW 3/27/95; SUMMARY DECISION AFFIRMED (11 TH CIR.) 5/14/96.
GORDON, LEROY	79-38	CFTC	06/26/79	4f(1)	1.10(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; SUSP AS AP 1 MO. OR LESS.
GORDON, SCOTT D.	78-1692	SD FL	05/25/81	4c(b)	32.9	PERMANENT INJUNCTION	
GORDON, SCOTT D.	81-11	CFTC	05/22/81	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; SUSP. AS AP 18 MO.
GORDON, SIDNEY S.	78-51	CFTC	12/07/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
GORECKI, MICHAEL	78-61	CFTC	11/29/78				REG. DENIED AS AP.
GOREN, STEVEN R.	78-4	CFTC	02/16/79				REG. DENIED AS AP.
GORMLEY, JOHN J.	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 1 MO. OR LESS.
GORSKI, CHESTER	93-5	CFTC	08/23/99				COURT DISMISSES COMPLAINT WITH PREJUDICE.
GOTTA, MICHAEL EZIO	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
GOTTSCH, ROBERT G.	82-44	CFTC	01/23/86	4k	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GOURLAY WOLFF & CO., LTD.	89-4242	CD CA	01/04/90	4c(b) 4d(1)	32.11(a) 33.3(b)	PERMANENT INJUNCTION	DISGORGEMENT.
GOURLAY WOLFF & CO., LTD.	92-1	CFTC	09/29/92	4c(b) 4d(1) 6(b)	1.55 30.3(a) 30.4(b) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER; MAY NOT SEEK, OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 3 YEARS; MAY NOT SEEK PART 30 EXEMPTION FOR 3 YEARS.
GOURLAY WOLFF FUTURES LTD. DUBLIN	92-1	CFTC	10/22/92		4.21 30.3(a) 30.4(c) 30.6		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
GOURLAY WOLFF FUTURES, LTD.	89-4242	CD CA	01/04/90	4c(b) 4d(1)	32.11(a) 33.3(b)	PERMANENT INJUNCTION	DISGORGEMENT.
GOURLAY WOLFF FUTURES, LTD.	92-1	CFTC	09/29/92	4c(b) 4d(1) 6(b)	1.55 30.3(a) 30.4(b) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; MAY NOT SEEK, OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 3 YEARS; MAY NOT SEEK PART 30 EXEMPTION FOR 3 YEARS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GRABARNICK, LAWRENCE	78-1069	SD FL	04/08/82	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
GRABARNICK, PHILIP GENE	78-1069	SD FL	04/08/82	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
GRABARNICK, PHILIP GENE	83-43	CFTC	01/14/97	4b 4o	4.21		CEASE & DESIST ORDER; PEN. AMNT.: \$208,000; TRAD. PRIV. SUSP. 12 MO.
GRACE, GERRY	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	
GRAEBER, JAMES C.	SD-97-2	CFTC	02/27/97	8a(3)(E) 8a(3)(D)			CONDITIONALLY REGISTERED AS A FB; NOT APPLY TO REGISTER FOR 2 YEARS; ANY FUTURE REGISTRATION WILL BE SUBJECT TO RESTRICTIONS.
GRAF, KARL HEINZ	91-C3262	ND IL	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
GRAHAM, MICHAEL GEORGE	SD-95-19	CFTC	07/17/95				CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS.
GRAIN LAND COOPERATIVE	97-1	CFTC	01/22/99				RESPONDENT AND DIVISION OF ENFORCEMENT FILE NOTICES OF APPEAL OF THE 11/6/98 ALJ INITIAL DECISION.
GRAMER, GEORGE W.	79-1085	ND TX	04/24/84	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
GRAMER, GEORGE W.	84-36	CFTC	04/20/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER; REG. REVOKED AS CTA & AP; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
GRAND CAPITAL COMMODITY, INC.	94-1162-A	ED VA	05/26/95	4(a) 4(d)(1) 4b(a) 9(a)(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; \$300,000 MINUS ANY FUNDS PAID BY OTHER DEFENDANTS; COOPERATE WITH COMMISSION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
GRANDVIEW HOLDINGS CORP.	95-9	CFTC	01/08/98	4b(a)(i) 4b(a)(ii) 4b(a)(ii)	166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB.
GRANT, ROBERT L.	84-45	CFTC	09/27/85	4k(1)	3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GRANT, STEVEN LONDON	80-835	D GA	09/14/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
GRAVENSTEIN DIVERSIFIED, INC.	85-1555	ND CA	03/03/86	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
GRAVITT, JOHN LEE	SD-98-7	CFTC	06/02/99	8a(3)(M)			APPLICATION FOR FLOOR TRADER REGISTRATION GRANTED BUT SUBJECT TO CONDITIONS FOR 2 YEARS.
GRAY, SAM	2:98CV00216J	C.D. UT	5/22/00	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$29,465; CIVIL MONETARY PENALTY OF \$29,465; RESTITUTION OF \$360,016.35 PLUS PREJUDGEMENT INTEREST OF \$89,862.50 AND POST JUDGEMENT INTEREST OWED JOINTLY & SEVERALLY WITH SCHENK; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT AS A FCM, CPO, CTA, IB, FB, FT OR AP.
GREAT AMERICAN COMMODITIES, INC.	88-30	CFTC	11/21/89	4c(b)	33.10 33.7(d) 166.2 166.3		CEASE & DESIST ORDER
GREAT PLAINS CO-OP	98-4	CFTC	10/4/99			NOTICE	DOE FILES NOTICE OF APPEAL OF 9/17/99 INITIAL DECISION.
GREEN TREE INVESTMENT CLUB	92-1676	CD CA	12/19/94	4m	4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS.
GREEN, DAVID	84-6717	SD FL	12/04/84	4(a)		PERMANT INJUNCTION	DISGORGEMENT.
GREEN, DAVID	99-1	CFTC	12/07/98	4o(1)(B) 4m(1)	4.20(c) 4.21 4.22		CEASE & DESIST ORDER; SECOND AMENDED ORDER; GREEN TO PAY RESTITUTION OF \$18,734.12; NOT TO ENGAGE IN TRADING COMMODITIES FOR FUTURE DELIVERY OR OPTIONS OTHER THAN ON BEHALF OF HIMSELF, HIS SPOUSE OR CHILDREN.
GREENBAUM JAMES D.	82-6850NCR	SD FL	01/11/84	4d(2) 4f(2) 4g(1)	1.20(a) 1.17(a) 1.31 1.32 1.25 1.26 1.28	PERMANENT INJUNCTION	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GREENBAUM, JAMES	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
GREENBAUM, JAMES D.	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER
GREENBERG, BOB	80-0689	SD NY	06/24/82	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
GREENBERG, DAVID S.	SD-88-3	CFTC	04/22/88				REG. REVOKED AS FB
GREENBERG, GARY	80-28	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4b 4b(D) 4g	1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION FOR 3 YEARS; DISMISS APPEAL WITH 2 ND CIRCUIT; ALSO SETTLES DOCKET #80-31.
GREENBERG, GARY	80-30	CFTC	06/23/87	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
GREENBERG, GARY	80-31	CFTC	04/18/91				SEE DOCKET #80-28.
GREENBERG, ROBERT	81-CA12	WD TX	02/22/89	4c(b) 4c(c) 4m	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN ANY BUSINESS ACCEPTING, CONFIRMING OR EXECUTING COMMODITY OPTIONS CONTRACTS; ENJOINED FROM VIOLATING TEXAS DECEPTIVE PRACTICES – CONSUMER PROTECTION ACT.
GREENBERG, ROBERT A.	82-14	CFTC	12/17/85	4 4b			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GREENBERG, ROBERT A.	82-28	CFTC	12/17/85				CONSOLIDATED WITH 82-14.
GREENE, ARNOLD	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ACCOUNTING ORDERED.
GREENFIELD, ESTHER LANDER	89-11	CFTC	11/27/90	4 4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4g(1) 4h(2) 4h	1.35(a-1) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 120 MO.; NOT TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 10 YEARS.
GREENFIELD, MICHAEL J.	93-14	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; NOT TO ACT AS A FB FOR 6 MONTHS.
GREENSPON, IRA P.	89-1	CFTC	05/25/90	4b(A) 4b(C) 4g(1)	1.35(a) 1.38 1.35(a-1)(2) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GREENSTEIN, MARC B.	89-2	CFTC	1/10/88	4g	1.35(a) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
GREER, RONALD E.	77-10	CFTC	03/07/85	4c(b)	32.9		PEN. AMNT.: \$5,000.
GREER, RONALD E.	78-50	CFTC	06/02/78				CONSOLIDATED WITH 77-10.
GREER, RONALD E.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.3(b) 32.6 32.7	PERMANENT INJUNCTION	
GRIECO N.V.	90-30	CFTC	03/12/91	4i 6(b)	18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; MUST NOTIFY DIRECTOR OF ENFORCEMENT WHEN HE BEGINS TRADING; MUST KEEP BOOKS & RECORDS.
GRIFFIN, ROBERT J.	89-5	CFTC	03/24/93	4(g)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ALJ OPINION SUMMARILY AFFIRMED.
GRIFFIN, SHERALD	98-12	CFTC	04/09/98		14.8(c)		GRIFFIN NOT TO APPLY TO THE COMMISSION FOR REINSTATEMENT FOR FIVE YEARS FROM THE DATE OF THE ORDER.
GRIMSRUD, JAMES	88-3	CFTC	11/17/87	4k(1)	1.56(c) 3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GROOVER, RICHARD C.	79-5	CFTC	01/12/79	4b(D)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 18 MO.; REG. REVOKED AS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FB.
GROSS, MILTON J.	87-6895G	SD FL	11/19/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGOREMENG; TRADING PROHIBITION; ALSO ENJOINED FROM VIOLATING THE FLORIDA STATUTES GOVERNING FRAUD AND BOILER ROOMS; NOT TO APPLY FOR REGISTRATION; NOT TO ENGAGE IN COMMODITY FUTURES BUSINESS.
GROSSFELD, KENNETH R.	87-3	CFTC	12/17/86	4b(A)	166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$52,500; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 1 MO. OR LESS; PROHIBITED FROM HANDLING MANAGED ACCOUNTS FOR 18 MONTHS.
GROSSFELD, KENNETH R.	89-23	CFTC	12/10/96				PEN. AMNT.: \$1,800,000; APPEALED TO 11 TH CIR.
GROSSMAN, AARON T.	83-36	CFTC	12/29/83				REG. DENIED AS AP.
GROSSO, GEORGE	80-29	CFTC	12/02/86	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$60,000; TRAD. PRIV. SUSP. 3 MO.; SUSP. AS FB 3 MO.
GROVES, JAMES WARREN	SD-80-1	CFTC	12/14/81				REG. DENIED AS AP.
GRUBERG, STEVEN MARK	79-50	CFTC	12/28/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
GU, ZIANPIN	93-0088	ED NY	12/06/94	4(a) 4b(A)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; COOPERATE WITH THE COMMISSION; RELEASE ALL CLAIMS TO ASSETS OF STANDARD FOREX.
GUALLINI, PAUL H.	84-22	CFTC	01/08/85	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
GULF-ATLANTIC GOLD COINS, INC.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
GULF-NATIONWIDE GOLD COINS, INC.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
GUNNELS, STEPHEN H.	78-1393	CD MA	12/29/81	4c(b) 4g	1.31 1.32 32.6(a) 32.6(f) 32.7(a) 32.9	PERMANENT INJUNCTION	
GUNTHER, FREDERICK A.	80-15	CFTC	09/14/82	4b 4k 4o			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; SUSP. AS AP 60 MO.
GUSTIN, SIDNEY	92-6893	SD FL	12/07/94	4m 4o	4.13 33.10	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 4k(1) 4k(2) 4b(a)(i) 4b(a)(ii) 4g 4c(b) 4n(3)(A)	4.21 1.31		BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
GUSTIN, SIDNEY	95-4	CFTC	02/07/95	4b(a)(i) 4b(a)(ii) 4c(b) 4d(1) 4g 4k(1) 4k(2) 4m 4n(3)(A) 4o	1.31 3.12 3.16 4.13 4.21 33.10		CEASE & DESIST ORDER; NEVER TO SEEK REGISTRATION WITH COMMISSION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION OR ACT AS AGENT OF ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED; COOPERATE FULLY WITH COMMISSION.
GUTTMAN, ZOLTAN	79-47	CFTC	03/30/81				REG. DENIED AS FB ON 3/30/81; REGISTERED AS FB ON 11/14/86.
GUTTMAN, ZOLTAN	93-4	CFTC	04/27/98	4c(a)(A) 4c(a)(B) 4g(1)	1.38(a) 1.31(a) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
HABERBUSH, ARTHUR B.	78-10	CFTC	06/26/80	4c			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HAGAN, DAVID D.	81-2250-W	WD TN	01/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
HAGAN, LAMBERT JOSEPH	SD-85-12	CFTC	09/13/85				REG. REVOKED AS AP.
HALFORD, HAROLD H.	78-1692	SD FL	05/25/81	4c(b)	32.9	PERMANENT INJUNCTION	
HALFORD, HAROLD H.	81-11	CFTC	05/22/81	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TO WITHDRAW AP APPLICATION AND NOT TO REAPPLY FOR ONE YEAR.
HALL, LLEWELLYN CONNELL	94-4	CFTC	11/02/93	4g(a) 6(c)	17.01(b) 18.04(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
HALL, PAUL	78-55	CFTC	03/11/80	4c(b)	32.9 32.3 32.7 32.5(a) 32.5(c) 32.8(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NOT TO SEEK REGISTRATION WITH CFTC.
HALL, THOMAS N.	88-C-3188	ND OK	06/14/89	4b(A) 4o(1) 4m(1)	4.23 4.21 4.22(a)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; TO MAKE \$100,000 RESTITUTION TO

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					4.22(c) 4.22(d) 4.22(e)		CUSTOMERS.
HALPER, ROBERT S.	92-21	CFTC	12/16/92	4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$55,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT SEEK REGISTRATION FOR 1 YEAR; CONDITIONS IMPOSED IF REGISTRATION SOUGHT BETWEEN 1 & 2 YEARS; NOT APPEAR ON FLOOR FOR 6 MONTHS; AFTER, REGISTRATION SUBJECT TO CONDITIONS FOR 1 YEAR.
HALPER, ROBERT S.	SD-95-10	CFTC	02/22/95				FT CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR ONE YEAR.
HALSTEAD, GARY E.	84-0621-R	ND TX	11/19/84 04/12/85	4d(1) 4d(2) 4k 4(a) 4b(D) 4o(1) 4n(3)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
HALTMIER, ROBERT	75-2	CFTC	05/05/76	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 18 MO.
HAMLET, EDWARD T.	94-14	CFTC	10/28/97	4o(1)(B)			CEASE & DESIST ORDER.
HANDLER, IRA	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
HANEMAN, JACK W.	86-25	CFTC	12/02/86	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS AP.
HANEMAN, WILLIAM F.	88-29	CFTC	03/03/89		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED; NOT TO ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION.
HANEY, LARRY	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
HANFORD, WILLIAM W.	83-10	CFTC	05/30/85	4e			PEN. AMNT.: \$1,000.
HANKS, JAMES M.	CV-98-N-1755-S	ND AL	07/07/98	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1)(A) 4o(1)(B)	4.20(c) 3.12(a) 4.21 4.22 4.24 4.25	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HANKS, JAMES MICHAEL	CV-98-N-1755-S	N.D AL.	9/28/00	4n(4) 4b(a)(i) 4b(a)(iii) 4k(2) 4o(1)	4.26 3.12(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM APPLYING FOR REGISTRATION OR SEEKING EXEMPTION FROM REGISTRATION W/ THE COMMISSION; RESTITUTION OF \$10,849,000 PLUS PRE-JUDGEMENT INTEREST OF AT LEAST \$1,842,780 JOINTLY & SEVERALLY OWED WITH CO-DEFENDANT FINANCIAL PLANNING ALLIANCE INTERNATIONAL; PREVIOUS ORDERS SHALL EXPIRE UPON ENTRY OF THIS ORDER.
HANLEY, KEVIN MICHAEL	SD-97-4	CFTC	04/08/97	8a(3)(E)			CONDITIONALLY REGISTERED AS FB FOR TWO YEARS.
HANNUM, DONALD R.	79-0752	CD CA	03/31/82	4b	1.7	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
HANNUM, DONALD R.	80-27	CFTC	02/27/87	4b 4d 4h 4k 8b	1.7		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 60 MO.
HANOVER TRADING CORP.	98-CIV-1365	SD NY	03/03/98	4(a) 4b		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
HAPPEL, HORST J.	90-30	CFTC	03/12/91	4a(5) 4c(a) 4i 6(b)	18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$255,000; TRAD. PRIV. SUSP. 24 MO.; MUST NOTIFY DIRECTOR OF ENFORCEMENT IN WRITING WHEN HE STARTS TRADING; MUST KEEP BOOKS & RECORDS.
HARDIN, DAVID R.	77-21	CFTC	09/08/80	4b 4c 4d 4f 4g 4k	1.17.01 1.20 1.31 1.32 1.33 1.33(a) 1.35 1.37		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
HARDWICK AND WELLS COMMODITIES, INC.	83-19	CFTC	02/10/84	4b(A) 4n(3)(A)	4.21(a) 4.22(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(4) 4o(1)	4.23(a)		PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
HARDWICK, WELLS, AND WINTHROP, INC.	83-19	CFTC	02/10/84	4b(A) 4n(3)(A) 4n(4) 4o(1)	4.21(a) 4.22(c) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
HARELICK, BRIAN H.	78-44	CFTC	05/18/79	6(b)			CEASE & DESIST ORDER; SUSP. AS AP 6 MO.
HARELIK, BRIAN H.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HARKER, THOMAS W. SR.	85-1482-W3	WD MO	05/16/86	4(a)		PERMANENT INJUNCTION	
HARLEY, STANLEY C.	00-20	CFTC	5/31/00	4m(1)	4.31(a) 4.31(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY AMOUNT OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
HARLOW, DAVID E.	85-5158-H	SD TX	12/30/86	4b(A) 4b(B) 4b(C) 4b(D) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS.
HARLOW, DAVID E.	87-8	CFTC	02/27/87	4b(A) 4b(B) 4b(C) 4b(D) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 M.
HARRIGAN, MARTIN DAVID	SD-93-7	CFTC	05/04/93				CONDITIONAL FB REGISTRATION GRANTED.
HARRIS WILLIAM B.	88-18	CFTC	02/27/90	4b(A) 4k(1) 6(b)	166.2 4.31(a) 3.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA.
HARRIS, ALLAN P.	00-15	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL COMPLY W/ UNDERTAKINGS.
HARRIS, ROBERT O. JR.	91-3289	ED PA	09/03/91	4d	33.3	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
HARRIS, RONALD	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; REG. DENIED AS AP.
HARRISON PRESCOTT, INC.	79-4313	SD NY	09/26/79	4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT &

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				4c(c)			ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
HARRISON, GEORGE R.	79-0609-H	ND TX	10/18/81	4c(b) 4c(c)		PERMANENT INJUNCTION	
HARRISON, GEORGE R.	82-26	CFTC	09/12/84	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; PEN. AMNT.: \$24,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HARRISON, RONALD W.	80-19	CFTC	03/27/81	4d(2) 4g 13(a)	1.20(a) 1.23 1.37 17.01		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS AP 1 MO. OR LESS.
HARRISON, STEPHEN	86-36	CFTC	09/30/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
HARTFORD FINANCIAL GROUP	98-6564	S.D. FL.	11/24/99	4f(a) 4k(1) 4k(5)	3.10(a)(2)(i)	FINAL JUDGEMENT	CIVIL MONETARY PENALTY OF \$330,000; ENJOINED FROM VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
HARTFORD FINANCIAL GROUP, INC.	98-6564	SD FL	11/23/99	4k(1) 4k(5) 4f(a)	3.10(a)(2)(i)		CIVIL MONETARY PENALTY OF \$330,000.
HARTZELL, RICHARD B.	85-6	CFTC	01/13/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
HARVARD INVESTMENT SERVICES, INC.	86-31	CFTC	08/19/86	4o(1)	4.41(a) 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000 JOINTLY OWED; TO UNDERTAKE TO COMPLY WITH REG. 4.31.
HARVEY B. POLLAK AND COMPANY	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 JOINTLY OWED; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
HARVEY, THOMAS J.	80-15	CFTC	10/15/80	4b 4o 4k 4f(l)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HAWKINS, JIM	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
HAYES, LESLIE L.	90-20380	ND CA	07/31/92	4m(1) 4n(3)(A) 4o 4b(A) 4b(B)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ORDERED TO DISGORGE \$30,000 AND TO PAY 10% OF HIS GROSS INCOME TO THE REGISTRY OF

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							THE COURT; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION; JEAN MCCOWN APPOINTED SPECIAL MASTER.
HAYES, RICHARD C.	SD-95-5	CFTC	01/03/97				REG. REVOKED AS FB; COMPLY WITH UNDERTAKINGS; NOT TO APPLY TO BE REGISTERED WITH COMMISSION; ANY FUTURE REG. SHALL BE CONDITIONAL FOR 2 YEARS.
HAZELCORN, HOWARD	80-30	CFTC	06/23/87	4b 4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 3 MO.; SUSP. AS FB 3 MO.
HE, YING	93-0067	CD CA	04/11/94	4(a)		PERMANENT INJUNCTION	
HEARN, JOHN	85-3169	SD FL	10/25/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
HEARTLAND FUTURES FUND	92-1062-T	D KS	02/11/94	4b(a)(ii)		PERMANENT INJUNCTION	
HEATH, V. JOYCE	88-15	CFTC	04/08/91	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP.
HEFFERNAN, GEORGE d/b/a ACCUTRADER AND ACCUTRADER DAY TRADING SCHOOL	00-29	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
HEFFERON, THOMAS H. JR.	77-10	CFTC	03/07/85	4c(b)	32.9		PEN. AMNT.: \$500.
HEINOLD COMMODITIES, INC.	80-28	CFTC	03/27/86	4g	1.37		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; APPEALED; APPEAL WITHDRAWN 5/7/86.
HEINOLD COMMODITIES, INC.	85-45	CFTC	09/27/85	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
HEITSCHMIDT, ROGER	92-25	CFTC	11/13/95	4n(3)(A)	4.31(a) 4.31(f)(i) 166.2		SUSP. AS AP 6 MO.; SUSP AS CTA 6 MO.; SUSP. AS IB 6 MO.
HELPER COMMODITIES CORP., INC.	85-39	CFTC	01/27/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
HELPER, LEWIS BRIAN	SD-92-1	CFTC	02/14/92	8a(3)(M)			CEASE & DESIST ORDER; CONDITIONALLY REGISTERED AS A FLOOR BROKER; MY NOT ACT AS PRINCIPAL; PARTNER, OFFICER, DIRECTOR, OR BRANCH OFFICE MANAGER OF ANY REGISTRANT; MAY NOT EXERCISE SUPERVISORY AUTHORITY; MAY NOT EXERCISE DISCRETIONARY TRADING AUTHORITY OVER CUSTOMERS' ACCOUNTS; MUST BE

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							EMPLOYED BY COMMISSION REGISTRANT; EMPLOYER MUST EXECUTE SUPERVISORY REGISTRATION AGREEMENT.
HELMICH, GERALD W.	90-30	CFTC	09/25/90				MAY NOT ACT IN SUPERVISORY CAPACITY FOR 14 DAYS FOR ANYONE REGISTERED OR REQUIRED TO BE REGISTERED.
HEMMERS, WILLIAM	80-32	CFTC	01/21/86	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
HEMMINGER, RALPH J.	78-6	CFTC	11/21/77	4c(a)			CEASE & DESIST ORDER; REG. REVOKED AS FB.
HEMPEL, MICHAEL R.	82-24	CFTC	02/16/83	4b 4d(1) 4m 4o(1)	1.7		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HENCH, NEVIN F.	80-36	CFTC	02/04/83	4b(A) 4b(C) 4d(1) 8b	1.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION.
HENCH, NEVIN F.	88-3-98	D MN	04/07/89	4b(C) 9(a) 4d(1) 4d(2) 8b		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING ORDERS OF THE COMMISSION; RESTITUTION.
HENDRICK, DANIEL A.	82-2	CFTC	09/17/82	6(b)			CEASE & DESIST ORDER; REG. DENIED AS CTA; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
HENRIKSEN, RICHARD	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.; APPEALED.
HENRY & HORNE, PLC	98-11	CFTC	10/21/98		14.8(c)		CEASE & DESIST ORDER; COMMISSION PERMANENTLY DENIES H&H THE PRIVILEGE OF APPEARING OR PRACTICING BEFORE IT; H&H SHALL NOT APPLY TO THE COMMISSION FOR REINSTATEMENT FOR 5 YEARS FROM THE DATE OF THIS ORDER.
HENRY POLLAK AND COMPANY, INC.	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED;

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							TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.
HEREDIA, JOHN C.	SD-85-4	CFTC	01/30/85				REG. REVOKED AS AP.
HERITAGE CAPITAL ADVISORY SERVICES, LTD.	82-C-5955	ND IL	02/10/83	4m		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
HERITAGE MARKET RESEARCH, INC.	85-1229	SD OH	08/02/85	4(a)		PERMANENT INJUNCTION	PROHIBITED FROM SELLING SECURITIES EXCEPT IN FULL COMPLIANCE WITH THE OHIO SECURITIES ACT.
HERLIHY, JOHN P.	85-50	CFTC	02/27/87	4d(1) 4m	1.7 4.20 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000 JOINTLY OWED.
HERMANS, CARL J.	97-0777	CD CAL	06/23/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4k(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; CIVIL MONETARY PENALTY OF \$125,000; RESTITUTION OF \$778,219.27.
HERMANSON, JOHN A.	95-10	CFTC	05/20/99	4f(b) 6c	1.17(a)(1) 1.17(a)(4) 1.10(d)(1) 1.12(a)(1) 1.12(a)(2) 1.12(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; REG. REVOKED AS AP.
HERNANDEZ, JOSE	88-2185	SD FL	01/25/90	4b 4c(b) 9(a) 4k 4g(1) 4n(3)	33.10 3.12 3.16 1.31 1.35 4.23 4.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
HERNANDEZ, ROBERT PHILLIP	86-2	CFTC	09/10/86	4b(A) 4o(1) 4n(3)(A)	1.31 4.23 4.32		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRADING PRIVILEGES REVOKED.
HERNANDEZ, SAMUEL J.	88-2185	SD FL	12/14/89	4b 4c(b) 4g(1) 4n(3)	33.10 1.31 1.35 4.23 4.32 166.3	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
HERNANDEZ, SAMUEL J.	90-2	CFTC	12/01/89	4b 4c(b)	1.31 1.35		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED;

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				4g(1) 4n(3)	4.23 4.32 33.10 166.3		REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION.
HERR, ALAN	82-2173	SD NY	09/13/82 11/21/83	4b(A) 4d(1) 4d(2) 4m 4n(1) 4n(2) 4n(4) 4o(1)	1.17 1.10c 1.10d 1.14 1.20 4.20(c) 4.21(a) 4.21(b) 4.21(c) 4.22 4.24	PERMANENT INJUNCTION	DISGORGEMENT.
HERR, ALAN	83-5	CFTC	03/30/84	4b(A) 4n(1) 4n(2) 4o(1) 4d(1) 4d(2) 4n(4)	1.10c 1.10d 1.14 1.7 1.20 4.20(c) 4.21 4.22 4.24		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
HERR, HERB	80-0689	SD NY	12/20/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
HERR, HERB	8202173	SD NY	09/13/82 11/21/83	4b(A) 4d(1) 4d(2) 4m 4n(1) 4n(2) 4n(4) 4o(1)	1.17 1.10c 1.10d 1.14 1.20 4.20(c) 4.21(a) 4.21(b) 4.21(c) 4.22 4.24	PERMANENT INJUNCTION	DISGORGEMENT.
HERR, HERB	83-5	CFTC	03/30/84	4b(A) 4n(1) 4n(2) 4o(1) 4d(1) 4d(2) 4n(4)	1.10c 1.10d 1.14 1.7 1.20 4.20(c) 4.21 4.22		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.

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HERZBER, MELVIN	82-23	CFTC	05/16/83	6(b) 4f(1) 4k(1) 4d(2) 4f(2) 4b(2)	4.24 1.10(a)(1) 1.20(a) 1.32 1.17(a)(1) 1.10(b) 1.10(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HERZBERG, MELVIN	80-3952	SD NY	10/22/80	4d(2) 4f(1) 4f(2) 4k 4b	1.10(a) 1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS.
HESSE, MICHAEL THOMAS	91-C-1707	D CO	05/19/92	4b(A) 4o	4.20(b) 4.20(c)	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; DISGORGE AND RETURN \$15,000.
HESSEE, KEVIN LEE	92-8529	SD FL	09/24/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	
HESSEE, KEVIN LEE	94-3	CFTC	10/21/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; NEVER SEEK OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NEVER BE ASSOCIATED WITH ANY COMMISSION REGISTRANT; COOPERATE WITH THE COMMISSION.
HESTERMAN, WILLIAM B. JR.	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
HEWITT, PAUL J.	SD-90-5	CFTC	11/26/90				REG. REVOKED AS CTA.
HILBURN, RODGER	80-1	CFTC	11/10/80	4c(c) 4c(b)	32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HILBURN, RODGER DON	85-1555	ND CA	03/30/88	4(a) 4b(a) 4b(c)		PERMANENT INJUNCTION	
HILL, JOSEPH T.	78-14	CFTC	05/03/78				REG. DENIED AS AP.
HINDLEY, RICHARD	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
HINES, BILLY HUGH	79-29	CFTC	04/09/80	4c(c)	32.1		CEASE & DESIST ORDER.
HINSHAW, DOUGLAS D.	88-18	CFTC	02/27/90	4b(A)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HIRSCHBERG, JUDD BLAIR	SD-91-7	CFTC	12/27/95				REG. REVOKED AS FB; 10 YEAR PROHIBITION AGAINST REG. WITH COMMISSION VACATED.
HIRSCHY, PIERRE ALAIN	85-12	CFTC	01/06/86	4b(A) 6(b) 6(c)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000,000; TRADING PRIVILEGES REVOKED.

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				9(b) 13(a)			
HIX, JOHN D.	78-47	CFTC	08/28/78				REG. REVOKED AS AP.
HOBBS, EVERETT SCOTT	96-5946	ED CAL	09/05/96	4b(a)(i) 4b(a)(ii) 4o(1)(A) 4o(1)(B) 4m(1)	4.20(a) 4.20(b) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
HOFFBERG, BUFF AARON	93-C-3106	ND IL	12/23/94	4b(a)(i) 4o(1) 4m(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ENJOINED FROM ACTING IN ANY CAPACITY AS A CTA, CPO, FCM, LTM, IB, FB, FT, OR AP.
HOFFECKER, CHARLES PAUL	92-6692	SD FL	05/03/93 02/21/96	4b 4c(b)	33.7(f) 33.10	PRELIMINARY INJUNCTION	FREEZE LIFTED; CFG TO TRANSFER \$150,000 TO A TRUST ACCOUNT; VACATE ORDER DENYING PERMANENT INJUNCTION AND REMAND.
HOFFMAN, CHARLES JR.	78-59	CFTC	09/22/80				REG. DENIED AS AP.
HOFFMAN, PETER D.	99-9	CFTC	03/30/99	4b(A) 4m 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; SHALL NOT APPLY FOR REGISTRATION IN ANY CAPACITY.
HOFFMAN, ROBERT P.	96-08202	SD FL	09/29/99	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4k(1) 4k(2) 4d(1) 4d(2) 4m(1) 9(a) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; DISGORGEMENT OF \$55,940.44.
HOFFMANN KAVANAUGH COMMODITY CORPORATION	77-3928	CD CA	10/31/77	4d(2) 4f(2)	1.17 1.20(a)	PERMANENT INJUNCTION	
HOFFMANN KAVANAUGH COMMODITY CORPORATION	80-2	CFTC	03/03/83	4f(2) 4g(1) 4d(2)	1.17(b)(1) 1.10(f) 1.20(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HOGGE, MARTIN J.	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
HOLLANDER, FREDERICK N.	93-1567	SD FL	02/25/94	4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	COOPERATE WITH THE COMMISSION.

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					166.3		
HOLLANDER, FREDERICK N.	94-11	CFTC	03/01/94	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NEVER SEEK OR ACT IN CAPACITY REQUIRING REGISTRATION; NEVER BE ASSOCIATED WITH ANY REGISTRANT; COOPERATE WITH THE COMMISSION.
HOLLOCKER, STEWART W.	82-44	CFTC	01/23/86	4k	1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
HOLMES, TONY	79-28	CFTC	10/15/80	4c(b)	32.3(b)(1)		CEASE & DESIST ORDER.
HOLT, ANTHONY L.	97C7061	ND IL				COMPLAINT FILED	
HOMOLKA, KATHLEEN D.	89-25	CFTC	08/03/90	4a(5)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY.
HON, EDMOND	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	
HONG, TONY	92-259	ED NY				COMPLAINT FILED	
HORN, SIMON PETER	92-443E(M)	SD CA	01/14/93	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JANET RANSON APPOINTED PERMANENT RECEIVER; DISGORGE \$541,856.79; SUM WILL NOT BE DISCHARGABLE IN BANKRUPTCY.
HORNBLOWER, WEEKS, NOYES AND TRASK, INC.	81-7	CFTC	02/09/81	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$6,000 JOINTLY OWED.
HOROWITZ, ALAN LEE	91-23	CFTC	03/31/92	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; REG. REVOKED AS AP; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY, NOR ENGAGE IN ANY ACTIVITIES REQUIRING REGISTRATION.
HOUGE, RICHARD	99-6	CFTC	3/9/00	4(a) 4c(b) 4d(1)	1.33(a) 1.55 32.2 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO- RESPONDENTS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
HOUSTON SYSTEM TRADING, LLC	00-24	CFTC	6/29/00	4o(1) 4k 4m(1)	4.41(a) 4.41(b) 3.12	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; SHALL NOT APPLY FOR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(i) 4b(a)(iii) 4n(4)	4.22 4.20 4.23 4.21 4.31 4.33		REGISTRATION W/ COMMISSION.
HOWE, JOHN FARWELL III	76-4051-H	D MA	11/11/76	4c(b) 4d(2) 4f(2) 4g(1) 4o(1)	30.01 1.17 1.20 1.31 1.32 1.33	PERMANENT INJUNCTION	
HOWE, ROSE M.	83-44	CFTC	10/29/85	4n(1) 4n(2)	1.10(c) 1.10(d) 1.14 3.13 3.31		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
HOWE, WILLIAM A.	79-1071	D MA	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
HOWE, WILLIAM A.	83-44	CFTC	10/29/85	4b(A) 4b(B) 4n(1) 4n(2) 4n(3) 4n(4) 4o(1)	1.10 1.14 3.13 3.31 1.10d 4.21 4.22 4.23 4.23(b) 4.31		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; APPEALED; SANCTIONS NOT STAYED BY 1 ST CIR.; AFFIRMED ON APPEAL TO 1 ST CIRCUIT 10/29/86.
HOWE, WILLIAM A.	84-768N	D MA	03/26/84			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
HOWELL, BOBBY J.	78-2240	WD TN	12/02/80				TO JOINTLY PAY \$25,806.74 TO RECEIVER.
HOWELL, BOBBY J.	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;
HOWELL, BOBBY J.	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
HOY, ROGER MARTIN a/k/a ROGER MARTIN	99-CV-1184	D. MINN.	2/8/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b)	33.10 4.33(a)(7) 4.41(a)	PERMANENT INJUNCTION	NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o			PROHIBITION; CO-DEFENDANTS JOINTLY & SEVERALLY OWE RESTITUTION OF \$120,000 AND CIVIL MONETARY PENALTY OF \$65,000; SHALL COMPLY W/ UNDERTAKINGS.
HSU, DAVID	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
HSU, DAVID	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
HSU, GRACE	98-10	CFTC	04/06/99	4b(a)(i)	166.2 1.55(a)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HSU, RUBY	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
HSU, RUBY	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
HUCKMAN, FRED	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
HUDDLESTON, MARY HUNT	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUDKINS, STEVEN D.	3:98CV0281AS	N.D. IND.	1/12/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a)(1) 4.20(c) 4.21 4.24	PERMANENT INJUNCTION	DISGORGEMENT OF \$592,395; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY OWE RESTITUTION OF \$606,830 WITH BEMILLER PLUS PRE-JUDGEMENT INTEREST OF \$53,327; SHALL NOT SEEK REGISTRATION W/ COMMISSION; ADDITIONAL; RESTITUTION OF \$255,175.
HUGHES, SHELDON	77-2	CFTC	02/29/80	4f(2) 4g	1.17 1.35		CEASE & DESIST ORDER; REG. REVOKED AS AP.
HUMPHERY, VAUGHN E.	79-25	CFTC	02/04/81	4g	1.37		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 48 MO.; REG. REVOKED AS AP.
HUNSUCKER, BOBBY JOE	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
HUNT HOLDINGS, INC.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR 2 YEARS.
HUNT, DOUGLAS	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUNT, HOUSTON B.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUNT, JOSEPH	86-5457	CD CA	01/12/87	4m 4o(1)		PERMANENT INJUNCTION	
HUNT, NELSON B.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS EXCEPT FOR HEDGING.
HUNT, NELSON BUNKER	77-1489	ND IL	07/21/81	4a		PERMANENT INJUNCTION	TO DISSEMINATE JUDGMENT TO CHILDREN AND THEIR SPOUSES.
HUNT, NELSON BUNKER	85-12	CFTC	12/20/89	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000,000; TRADING PRIVILEGES REVOKED.
HUNT, W. H.	77-1489	ND IL	07/21/81	4a		PERMANENT INJUNCTION	TO DISSEMINATE JUDGMENT TO CHILDREN AND THEIR SPOUSES.
HUNT, W. H.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUNT, WILLIAM HERBERT	85-12	CFTC	12/20/89	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000,000; TRADING PRIVILEGES REVOKED.
HUNTER, NOREEN JUDITH	88-16	CFTC	04/25/89	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HUSSAIN, SYED	98-2	CFTC	07/15/99	4k(1)	3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; NOTICE OF EFFECTIVE DATE; MAY 18, 1999 ALJ DEFAULT JUDGMENT BECAME THE FINAL ORDER OF THE COMMISSION ON 7/1/99.
HUTCHERSON, MARK	99-7	CFTC	2/4/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS AP REVOKED; PENALTY AMOUNT \$10,000; RESTITUTION OF \$11,097,793;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SHALL NOT SEEK REGISTRATION W/ COMMISSION.
HUTCHINSON, NORMAN E.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
HYMAN, ALBERT	78-40	CFTC	06/22/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
IACIOFANO, DOMENIC	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
IACIOFANO, DOMENIC F.	79-51	CFTC	02/27/81				REG. DENIED AS AP.
IAM, INC.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
IANNOTTI, FRANK M.	92-00361	D CT	08/06/92	4(a)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; THE COURT ALSO RESCINDED ALL OUTSTANDING CONTRACTS.
IB BROKERAGE	93-2765	SD NY	01/29/96	4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN, ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
IBB INC.	93-2765	SD NY	01/29/96	4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN, ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
IBS, INC. (A NORTH CAROLINA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
IDE INTERENATIONAL	80-0689	SD NY	07/19/82	4b		PERMANT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ILK, MARK RICHARD	90-32	CFTC	09/22/92	4b(A)	166.2		CEASE & DESIST ORDER; MAY NEVER SEEK REGISTRATION IN ANY CAPACITY WITH THE COMMISSION.
ILK, MARK RICHARD	92-13	CFTC	11/05/92	4c(b) 4k(2)	4.31(a) 4.31(f)(1) 33.10 166.3		CEASE & DESIST ORDER; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
IMC TRADING, INC. (A NEVADA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
IMC TRADING, INC. (A NORTH CAROLINA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
IMC TRADING, INC. (AN ARIZONA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
IMPERIAL OPTIONS, LTD.	77-7	CFTC	06/21/78				REG. DENIED AS CTA & FCM.
INCOMCO, INC.	80-25	CFTC	10/02/84				CONSOLIDATED WITH DOCKET 82-20.
INCOMCO, INC.	80-3103	SD NY	07/29/81	4d(2) 4f(2) 4g 4i	1.20(a) 1.17(a) 1.31 1.35	PERMANENT INJUNCTION	
INCOMCO, INC.	80-4399	SD NY	07/29/81				CONSOLIDATED WITH 80-3103 (S.D.N.Y. 1980).
INCOMCO, INC.	82-20	CFTC	05/12/86	4d(2) 4f(1) 4f(2) 6(b)	1.10 1.12 1.17 1.20(a) 1.22 123 1.27(a)		CEASE & DESIST ORDER; APPEALED.
INDEX FUTURES GROUP, INC.	92-28	CFTC	09/29/92	9(a) 4d(2)	1.20 1.22	COMPLAINT FILED	PEN. AMNT.: \$100,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INDEX SERVICES, INC.	85-23	CFTC	12/29/86	4b(A) 4c(b) 4n 4o	3.31 4.31(a) 4.31(b) 4.31(f) 4.41(a) 4.41(b) 33.3(a) 33.10(a) 33.10(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA.
INDIHAR, MICHAEL	96-08202	SD FL	06/25/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4d(1) 4d(2) 4m(1) 4k(1) 4k(2) 9(A) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	RESTITUTION OF \$24,309 PLUS PRE-JUDGMENT INTEREST; BASED UPON DEFENDANTS SWORN FINANCIAL DISCLOSURE STATEMENT, THE COURT IS NOT ORDERING THE PAYMENT OF THE RESTITUTION AMOUNT AND A CIVIL MONETARY PENALTY UPON DEFENDANTS; DEFENDANTS SHALL SIGN ACKNOWLEDGEMENTS OF SERVICE OF ORDER AND SERVE ON COMMISSION WITHIN 7 DAYS.
INTERBROKERS USA, INC.	89-2324-1	D SC	02/16/93	4d(2) 4f(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	
INTERCO	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
INTERCO II	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
INTERCONTINENT COMMODITY ADVISORS, INC.	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; CHARGED WITH CIV. CONTEMPT.
INTERCONTINENTAL FOREIGN EXCHANGE, LTD.	90-192	D CO	12/02/91	4m(1) 4o 4b(A) 4b(B) 4d(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; DISGORGE \$405,961.86 MINUS ANY PAYMENT MADE TO THE STATE OF ARIZONA FOR RESTITUTION TO CUSTOMERS; RECEIVER MAY BE APPOINTED.
INTERNATIONAL ADVANCED INVESTMENTS, INC.	CIV-PJM-98-3316	D. MD	10/27/99	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE ASSETS; STOP SOLICITATION; RESTITUTION & DISGORGEMENT OF \$5,264,251 PLUS PRE AND POST JUDGEMENT INTEREST; CIVIL MONETARY PENALTY OF \$15,792,753 PLUS PRE AND POST JUDGEMENT INTEREST; SHALL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							NOT SEEK APPLICATION FOR REGISTRATION.
INTERNATIONAL BULLION CLEARING CORPORATION	81-CA12	WD TX	02/22/89	4c(b) 4c(c) 4m	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN ANY BUSINESS ACCEPTING, CONFIRMING OR EXECUTING COMMODITY OPTIONS CONTRACTS; ENJOINED FROM VIOLATING TEXAS DECEPTIVE TRADE PRACTICES – CONSUMER PROTECTION ACT.
INTERNATIONAL BULLION CORPORATION	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
INTERNATIONAL BULLION SERVICES (BAHAMAS), INC.	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
INTERNATIONAL CLEARING EXCHANGE	81-CA12	WD TX	12/15/82 02/22/89	4c(c) 4c(b)	32.9	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; SEE INTERNATIONAL BULLION CLEARING CORPORATION.
INTERNATIONAL COAL CORPORATION	81-2250-W	WD TN	05/06/86	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
INTERNATIONAL COMMODITIES CORPORATION	77-3864	CD CA	06/12/79	4c(b) 4i 4g 4o	1.35(a) 32.7 32.9 32.5 1.31	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION.
INTERNATIONAL COMMODITIES CORPORATION	79-7	CFTC	04/22/83	4c(b) 6(b) 4g 4g(1) 4f(1) 4f(2) 4d	32.9 32.5 1.31(a) 1.35 32.7 1.17(b) 1.20 32.6 1.23 1.18 1.10(f)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.32		
INTERNATIONAL COMMODITY ADVISORS, INC.	76-19	CFTC	12/27/76	4b 4o(1) 4m			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. DENIED AS CTA.
INTERNATIONAL COMMODITY INVESTMENT INC.	78-6508	SD FL	02/06/79	4d(2) 4f(2)	1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
INTERNATIONAL COMMODITY OPTIONS, LTD.	78-2	CFTC	07/03/79	4c(b)	32.3		CEASE & DESIST ORDER; REG. DENIED AS FCM.
INTERNATIONAL CURRENCY EXCHANGE, INC.	79-03851	CD CA	09/21/82	4c(c) 4c(b)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
INTERNATIONAL DYNAMICS, INC.	84-29	CFTC	05/28/85	4m(2)	1.10c 1.10d 1.14		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING PRIVILEGES REVOKED.
INTERNATIONAL FUTURES CORPORATION	98-16	CFTC	02/25/99	4b(a) 4o(1)(A) 4o(1)(B) 4m	4.31(a) 4.31(b) 4.33(a)(7) 4.36(d)(1) 4.41(a) 4.41(b)		CEASE & DESIST ORDER; REG. REVOKED AS IB.
INTERNATIONAL GOLD BULLION EXCHANGE, INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
INTERNATIONAL GOLD EXCHANGE INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
INTERNATIONAL GRAIN, LTD.	83-C-4994	ND IL	10/14/83	4g(1) 4b(A) 4b(B) 4b(D) 4d(1) 4d(2)	166.2 1.20(a) 1.31(a) 1.35	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
INTERNATIONAL INVESTMENT GROUP, LTD.	99-6560-CIV	S.D. FL.	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGEMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841. SHALL NOT SEEK REGISTRATION W/ COMMISSION.
INTERNATIONAL METALS INVESTMENT CO., LTD.	85-12	CFTC	04/30/91	6(b) 6(c)			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				9(b) 13(a)			PRIVILEGES REVOKED.
INTERNATIONAL PETROLEUM EXCHANGE, INC.	80-0689	SD NY	07/19/82	4b		PERMANENT INJUNCTION	
INTERNATIONAL PRECIOUS METALS CORPORATION	83-17	CFTC	12/21/82	4o(1)	31.03 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000.
INTERNATIONAL ROYAL INVESTORS LTD.	79-1663	SD NY	01/26/81	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
INTERNATIONAL SILVER BULLION EXCHANGE CORP.	84-10501	ND IL	09/16/85	4o(1) 4(a)(1) 4(a)(2) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM VIOLATING ILLINOIS CONSUMER FRAUD & DECEPTIVE BUS. PRACTICES ACT.
INTERNATIONAL SILVER BULLION EXCHANGE CORP.	85-26	CFTC	09/13/85	4(a)(1)(4(a)(2) 4b(A) 4o(1)			CEASE & DESIST ORDER.
INTERNATIONAL TRADING GROUP	89-5363	CD CA	03/05/91	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
INTERNATIONAL TRADING GROUP OF IOWA	89-5363	CD CA	04/03/90	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
INTERNATIONAL TRADING GROUP OF IOWA	90-9	CFTC	03/27/90	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
INTERNATIONAL TRADING GROUP, LTD.	91-5	CFTC	03/05/91	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; NEVER TO APPLY FOR REGISTRATION WITH THE COMMISSION.
INTERNATIONAL TRADING SYSTEMS, AUSTRALIA PTY, LIMITED	00-28	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED; SHALL COMPLY W/ UNDERTAKINGS.
INTERNATIONAL TRADING SYSTEMS, LTD.	00-28	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED; SHALL COMPLY W/ UNDERTAKINGS.
INTERSTATE SECURITIES	87-19	CFTC	06/01/92	4b(A)	166.3		PEN. AMNT.: \$100,000;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CORPORATION							TENTATIVE PENALTY MADE FINAL ON 12/16/92.
INTERVEST COMMODITIES INCORPORATED	81-11	CFTC	05/22/81	4c(b)	32.9		CEASE & DESIST ORDER; NOT TO REAPPLY FOR REGISTRATION AS FCM.
INTERVEST COMMODITIES, INC.	78-1692	SD FL	05/25/81	4c(b)	32.9	PERMANENT INJUNCTION	
INVESTMENT BANKER'S BROKERAGE	93-2765	SD NY	01/29/96	4(d)(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
INVESTORS INTERNATIONAL INC.	78-64	CFTC	09/17/81	4d(1) 4k	1.7		CEASE & DESIST ORDER; REG. DENIED AS CTA & CPO.
IOWA STATE BANK AND TRUST CO.	4-96-70005	A	11/07/96				PAY RESTITUTION OF \$521,804.85 PLUS INTEREST OF \$44,561.41 FOR DISTRIBUTION TO CUSTOMERS.
IP, YUN SANG	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
IP, YUNG SANG	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
IPEC EQUITIES CORPORATION	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
ISLES, CARMEL E.	93-8242	SD FL	01/13/94	4b 9(a) 4d		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; DISGORG AT LEAST \$560,000 (JOINT WITH CIBA); PROHIBITED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION; 7/26/94 ORDER OF CONTEMPT.
ITZKOWITZ, DAVID	86-3	CFTC	04/29/86	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; NOT TO REAPPLY FOR REGISTRATION AS FB FOR 1 YEAR.
ITZKOWITZ, DAVID	SD-95-20	CFTC	07/25/95				FB REGISTRATION CONDITIONED FOR 2 YEARS.
ITZKOWITZ, DAVID	SD-00-03	CFTC	6/9/00			ALJ ORDER	FB REGISTRATION REVOKED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BECAME FINAL ORDER OF COMMISSION ON 7/10/00.
IV GREAT RIVER CORP.	98-5	CFTC	01/23/98	4b(a) 4(d)(1) 4(d)(2) 4k(1) 9(a)(1)	1.20(c) 1.33 1.55 3.12		CEASE & DESIST ORDER; RESPONDENTS' RESTITUTION IS WAIVED IN LIGHT OF FINANCIAL CONDITION.
IZDEBSKI, RICHARD	88-18	CFTC	06/07/88	4b(A) 4k(1) 6(b)	1.31(a) 3.15 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION OR BECOME PRINCIPAL OF ANY ENTITY REQUIRING REGISTRATION FOR 15 YEARS.
J. S. LOVE & ASSOCIATED OPTIONS, LTD.	76-928	SD NY	03/01/76	4c(b) 4m 4o	30.01	PERMANENT INJUNCTION	RECEIVER APPOINTED.
J. S. LOVE & ASSOCIATES CONSULTANTS, INC.	76-928	SD NY	03/01/76	4c(b) 4m 4o	30.01	PERMANENT INJUNCTION	RECEIVER APPOINTED.
J. TRADERS, INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER	
J.P.M. INDUSTRIES INC.	SD-87-3	CFTC	12/18/90				REG. REVOKED AS CPO
J.P.M. INVESTMENTS, INC.	99-C-2357	ND IL	04/12/99 05/28/99			STATUTORY RESTRAINING ORDER	ORDER AMENDING THE 4/12/99 STATUTORY RESTRAINING ORDER.
J.P.M. TRADING COMPANY, INC.	SD-87-3	CFTC	12/18/90				REG. REVOKED AS IB & CTA.
J.P.M.R., INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER	
J.R. SIMPLOT, CO.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 72 MO.
J.S. CAMPBELL AND COMPANY	88-24	CFTC	11/30/89	4b(A) 4b(B) 4b(C) 4o(1) 4d(1) 4d(2) 9(a)	1.20		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 240 MO.
JACK CARL ASSOCIATES, INC.	88-5	CFTC	01/21/88	4k			CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
JACKAM, KEVIN	99-7	CFTC	07/29/99	4c(b)	33.10 166.3		CEASE & DESIST ORDER; TRADING PROHIBITION; RESTITUTION OF \$200,000 PLUS PRE-JUDGMENT INTEREST; SHALL IMMEDIATELY COMPLY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							WITH UNDERTAKINGS; CIVIL MONETARY PENALTY NOT IMPOSED BASED ON SWORN FINANCIAL STATEMENT.
JACOBSEN, ELLIOTT	80-0421	SD NY	06/21/83	4b(A) 4n(3)(A) 4n(4) 4o(1)	4.20(c) 4.21(a) 4.22(a) 4.23	PERMANENT INJUNCTION	
JADERBORG, RONALD T.	79-6	CFTC	05/29/79	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP.
JAMELL, SALEM F.	87-16	CFTC	09/22/87	4b(A)	4.13(b)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$500; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 1 MO. OR LESS.
JAMES BROWN MONTFORT	SD-91-4	CFTC	01/22/92	8a(3)(G) 8a(3)(N) 8a(4)			REG. DENIED AS CTA; MAY NOT APPLY TO REGISTER FOR 5 YEARS, BUT MAY APPLY FOR CONDITIONAL REGISTRATION IN 2 YEARS.
JAMES T. MCKERR & COMPANY	86-20	CFTC	11/17/87	4d(2) 4f(2)	1.20(a) 1.23 1.32 1.35(a) 1.17 1.27(a) 1.36(a) 1.36(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,500.
JAMES TIMPSON AND ASSOCIATES, INC.	86-1342TCM	SD CA	09/14/87	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
JAMES, DONALD E., individually and d/b/a FRANKLIN THOMAS & COMPANY	1:99-cv-0967	N.D. GA	5/8/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1) 4n(4)	4.22 4.20(c) 4.21	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$3,331,538.02 PLUS PRE-JUDGEMENT INTEREST OF \$227,640.52.; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL NOT ACT AS PRINCIPAL, EMPLOYEE, OFFICER OR AGENT OF ANY PERSON REGISTERED, EXEMPTED FROM REGISTRATION OR REQUIRED TO BE REGISTERED UNDER THE ACT.
JANKOWSKI, CHRISTOPHER A.	79-16	CFTC	04/21/86	4f 4b(A) 4g 4d(1)	1.10(b) 1.18(a) 1.10(d) 1.20(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(2) 4b(B) 4b(C) 4b(D) 4h(2) 4k 4	1.10(f) 1.35 1.17(a) 1.7 1.38 1.23 1.32		
JARBOE, JAMES P.	80-19	CFTC	06/16/81	4d(2) 4g 9(b) 6(b) 6(c) 13(a)	1.20(a) 1.23 1.37 17.01		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
JARVIS, THOMAS	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
JAWHARI, NIZAR HASSAN	86-H-4366	SD TX	03/09/87 03/28/87 12/02/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES AND DECEPTIVE TRADE PRACTICES LAWS; TO PAY TO THE STATE OF TEXAS \$10,000 PENALTY AND \$10,000 JOINTLY FOR COSTS CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; MUST PAY RECEIVER AMOUNT SPENT IN VIOLATION OF COURT ORDER.
JCC, INC.	83-43	CFTC	01/14/97				REGISTRATION PREVIOUSLY REVOKED IN 89-4.
JCC, INCORPORATED	89-4	CFTC	09/15/95	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; REG. REVOKED AS FCM; AFFIRMED (11 TH CIR.)
JDI LIMITED INC. D/B/A/ FUTURE	95-6221	SD FL	11/27/96	4m(1)	4.41(a)(1)	PERMANENT INJUNCTION	DISGORGEMENT; STOP

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
VISION				4o(1)(A) 4o(1)(B) 4b(a)(i)	4.41(a)(2)		CUSTOMER SOLICITATION; ENJOINED FROM SEEKING REGISTRATION; ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITY TRADING ADVICE; CONTROLLING ANY COMMODITY TRADING; BEING EMPLOYED BY ANY BUSINESS THAT PROVIDES COMMODITY FUTURES OR OPTIONS PROGRAMS; ALSO ENJOINED FROM VIOLATING FLORIDA DECEPTIVE & UNFAIR PRACTICES ACT AND FROM OPERATING A BUSINESS IN FLORIDA.
JEBROCK, MICHAEL	87-2591HAA	D NJ	07/18/88 11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS.
JEFFERSON NATIONAL INVESTMENT CORPORATION	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
JENSEN, DANIEL E.	SD-94-9	CFTC	09/09/94				REG. DENIED AS FB.
JEWETT, EUGENE LYON II	97-7	CFTC	05/08/97	4d(1) 4d(2)	1.33(a) 1.33(b) 1.55 33.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; RESTITUTION ORDERED; SINCE INITIAL DECISION NOT APPEALED OR REVIEWED INDEPENDENTLY, IT BECAME COMMISSION FINAL ORDER ON 6/9/97.
JIA, JAMES	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
JOE MILLER COMPANY d/b/a IMC TRADING (A CALIFORNIA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
JOHANNING, JEROME B.	87-13	CFTC	05/11/88	4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION FOR 1 YEAR.
JOHN C. NAYLOR & ASSOCIATES	80-27	CFTC	01/09/84	4b 4d 4h			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
JOHN C. NAYLOR CORPORATION	80-27	CFTC	01/09/84	4b 4d 4h			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
JOHN C. NAYLOR GROUP	80-27	CFTC	01/09/84	4b 4d 4h			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
JOHN F. DURKIN AND COMPANY, INC.	82-43	CFTC	05/02/84	4b 4m 4n 4o(1)	4.20(c) 4.21 4.22 4.24		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CTA & CPO; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
JOHN J. MULLER ASSOCIATES, INC.	77-22	CFTC	08/02/82				REG. DENIED AS FCM.
JOHN R. SIMPLOT COMPANY	78-25	CFTC	03/07/78				CONSOLIDATED WITH 77-13; SEE J. R. SIMPLOT CO.
JOHNSON, COREY	00-35	CFTC	9/28/00	4c(b)	33.10 166.3	COMPLAINT FILED	
JOHNSON, STEPHEN F.	92-5	CFTC	01/22/92		1.35(a-1)(2)		CEASE & DESIST ORDER; SUSP. AS AP 4 MO.
JOHNSON, THOMAS J.	82-34	CFTC	11/06/85	4a(2)(B) 4i	150.4 150.11 150.12 180.00		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
JOHNSON, THOMAS J.	84-2	CFTC	10/24/83				CONSOLIDATED WITH 82-34.
JOHNSON, THOMAS J.	89-8	CFTC	01/26/90	4a(2)(B) 6(b)	150.2		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
JOINER, WILLIAM H.	84-37	CFTC	05/14/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
JOINER, WILLIAM H. JR.	79-1085	ND TX	03/19/84	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
JONES, NICHOLAS B.	78-2	CFTC	07/03/79	4c(b)	32.3		CEASE & DESIST ORDER; REG.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							DENIED AS AP.
JONES, NICHOLAS B.	79-4873	SD NY	10/23/79	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
JONES, STANLEY T.	85-6	CFTC	01/13/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
JORDAN, ROBERT	83-20	CFTC	03/30/83	4a(2)(B)	150.2 150.4 150.11 150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
JOSTEN, WALTER	84-6717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
JOSTEN, WALTER S.	84-8601	ND IL	10/19/84	4b(A) 4b(C)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
JOYCE, PAUL FRANCIS	92-8529	SD FL	06/09/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	
JOYCE, PAUL FRANCIS	93-21	CFTC	06/21/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER SEEK REGISTRATION IN ANY CAPACITY REQUIRING REGISTRATION OR WORK FOR ANY REGISTRANT; COOPERATE WITH THE COMMISSION RE: RELATED PROCEEDINGS.
JPM COMMODITIES, INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER	
JPM TRADERS, INC.	99-C-2357	ND IL	04/12/99 05/28/99			STATUTORY RESTRAINING ORDER	ORDER AMENDING THE 4/12/99 STATUTORY RESTRAINING ORDER
JPM, INC.	99 C 2357	N.D. IL.	7/17/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a)(1) 4.20(c) 4.21	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; RESTITUTION OF \$49,000 PLUS \$3,693 IN PRE-JUDGEMENT INTEREST JOINTLY & SEVERALLY OWED WITH KOZIOL & J. MCGIVNEY AND POST JUDGEMENT INTEREST; DISGORGEMENT OF \$49,000 WILL BE SATISFIED THROUGH RESTITUTION PAYMENTS.
JPM2, INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER	
JUDD, PAUL B.	00-13	CFTC	5/1/00	4c(b)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)	33.10(a) 33.10(c)		MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENT; SHALL COMPLY W/ UNDERTAKINGS.
JUECHTER, ADAM	96-CV-2640	ED PA.	10/20/99			FINAL ORDER OF DISTRIBUTION, SUPPLEMENTING PERMANENT INJUNCTION	JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$3,000,000. ALL BUT \$77,618 IS WAIVED BASED ON PALEY & JUECHTER'S SWORN FINANCIAL STATEMENTS. PAYMENT BY PALEY, JUECHTER & AYM IN ACCORDANCE W/ RESTITUTION ORDER ENTERED IN SEC V. AYM SATISFIES DUTY TO PAY \$77,618 TO CFTC.
JVF INVESTMENTS, INC.	83-8018WMH	SD FL	05/12/84	4a		PERMANENT INJUNCTION	
KAHN, ELLIS K.	83-43	CFTC	02/13/97				REG. REVOKED AS CTA & CPO.
KAHN, ELLIS K.	89-4	CFTC	09/15/95	4b(A)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$510,000; REG. REVOKED AS FB & AP; AFFIRMED (11 TH CIR.)
KALUS, ELLIOT	78-55	CFTC	05/25/79	4c(b)	32.5(a) 32.5(c) 32.7 32.9		CEASE & DESIST ORDER; REG. REVOKED AS AP.
KAMERDIN, JOHN	85-50	CFTC	02/27/87	4b(A)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
KAMINSKI, KENNETH W.	80-36	CFTC	02/04/83	4f(1) 4g(1) 8b 4b(A) 4b(C)	1.18(a) 1.35(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
KAMROW, JEFFREY WARD	90-24	CFTC	01/31/91	4(b)(A) 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
KANGLES, ELIZABETH A.	SD-88-4	CFTC	05/17/88				REG. DENIED AS FB; INITIAL DECISION VACATED AND REMANDED ON 6/6/90.
KANNO, GEORGE	79-59	CFTC	12/11/80				REG. DENIED AS AP.
KANSAS CITY BOARD OF TRADE	85-6	CFTC	11/23/84	5a(8)	1.51(a) 1.53 8.06(a)(2)		CEASE & DESIST ORDER; PEN. AMNT.: \$60,000.
KANSAS COMMODITY TRADERS, INCORPORATED	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER; REG. REVOKED AS CPO.
KAPLAN, ARTHUR	80-29	CFTC	05/20/81	4b(A) 4b(C) 4b(D) 4c(a) 4b	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KAPLAN, MURRAY F.	SD-95-6	CFTC	06/13/96				REG. DENIED AS FB; COMPLY WITH CONDITIONS; NOT TO APPLY TO BE REGISTERED IN CAPACITY FOR 1 YEAR; NOT TO APPLY TO BE REGISTERED IN ANY CAPACITY OTHER THAN FT FOR 5 YEARS; ANY FUTURE APPLICATION FOR FT TO BE CONDITIONAL.
KAPP, ARNOLD E.	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
KARAFOTAS, PHILLIP T.	77-1	CFTC	05/26/78	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
KARET INTERNATIONAL	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
KARIAN, ARLENE	76-928	SD NY	03/10/76	4c(b)	30.01	PERMANENT INJUNCTION	
KARNY, DEAN	86-5457	CD CA	08/31/88	4m(1) 4o(1)(A) 4o(1)(B)		PERMANENT INJUNCTION	
KARRIS, CHRIS JOHN	83-11	CFTC	02/25/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
KASTIL, VICTOR M.	85-46	CFTC	02/21/86	4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
KATES, KEVIN	00-27	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMPLAINT FILED	
KAUFMAN, GEORGE J.	83-12	CFTC	04/20/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
KAUFMAN, MILTON	91-7	CFTC	06/25/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$60,000; TRAD. PRIV. SUSP. 15 MO.; REG. REVOKED AS FB; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY FOR 5 YEARS.
KAUFMAN, MILTON	SD-94-2	CFTC	11/24/93				CONDITIONAL REGISTRATION AS FT FOR 2 YEARS.
KAUFMAN, STUART	80-28	CFTC	03/27/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 3 MO.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KAULENTIS, JAMES J.	93-2	CFTC	12/04/92	4c(a)(A) 4c(a)(B) 4b(A) 4b(B) 4b(C) 4b(D)	1.38(a)		CEASE & DESIST ORDER; PEN. AMANT.: \$30,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; LIQUIDATE ALL FUTURES & OPTIONS POSITIONS.
KAVANAUGH, L. ROY JR.	77-3928	CD CA	10/31/77	4d(2) 4f(2)	1.17 1.20(a)	PERMANENT INJUNCTION	
KAVANAUGH, L. ROY JR.	80-2	CFTC	12/15/82	4f(2) 4g(1) 4d(2)	1.17(b)(1) 1.10(f) 1.20(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
KAWAKAMI, LEO T.	82-41	CFTC	03/21/83				REG. REVOKED AS AP.
KAY, JAMES W.	78-28	CFTC	06/29/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
KEATS, RICHARD	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
KEEDY, JAYNE	90-1748-T	ND TX	08/01/90	4b(A) 4b(B) 4d(1) 4d(2)		PERMANENT INJUNCTION	ALSO ENJOINED FROM ACTING IN A CAPACITY REQUIRING REGISTRATION, ACCEPTING FUNDS FOR, OR GIVING ADVICE ON TRADING COMMODITY FUTURES OR OPTIONS.
KEELER, RALPH	80-0689	SD NY	07/22/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
KEESHIN, SEYMOUR M.	82-21	CFTC	07/18/84	4b(A) 4b(B) 4b(D) 4c(a)(A) 4c(c) 4g	1.35 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 6 MO.
KELLER, JOHN E.	81-2250-W	WD TN	01/22/87	4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
KELLOGG, MICHAEL A.	80-6	CFTC	10/14/80	4c(a) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KELLY, J. MICHAEL	79-54	CFTC	09/26/80	4m 4b 4o 4c(b) 4h(2)	32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
KELLY, PATRICK D.	SD-96-6	CFTC	04/16/96	8a(3)(E)			CONDITIONALLY REGISTERED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR 2 YEARS AS A FT.
KELLY, ROBERT J.	83-13	CFTC	04/12/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
KELLY, SEAN G.	97-6	CFTC	11/19/98	4n(3)(A)	1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; SUSP. AS CTA 6 MO.; APPEALED.
KELLY, THOMAS E.	98CIV5270	SD NY	11/03/98	4b(a)(i) 4b(a)(iii)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$291,938 JOINTLY & SEVERALLY OWED WITH A. RHEE; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER CEA.
KELSON, GARY	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
KELSON, GARY	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	
KEMPER FINANCIAL SERVICES	94-1	CFTC	10/20/93		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; PAY AN ADDITIONAL 9.2 MILLION INTO ESCROW ACCOUNT FOR DISTRIBUTION TO SHAREHOLDERS.
KENNEDY, EDWARD JOHN	83-28	CFTC	03/31/83	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
KENNEY, THOMAS P.	89-27	CFTC	06/30/92	4a(5) 4c(a)(A) 4c(a)(B) 4e 4i	1.38 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 24 MO.; MUST LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS.
KENNEY, THOMAS P.	91-11	CFTC	03/11/97				TRADING PRIVILEGES REVOKED.
KENT, HERBERT J.	81-1070-MC	D MA	06/05/81	4d(1) 4b(A) 4b(B) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
KEPREOS, CONSTANTINE THEODORE	82-0305	D MA	05/21/85	4o(1) 4b(A)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT.
KEROES, MARTIN	78-57	CFTC	01/22/81	6(b)	1.14		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
KERZINGER, WILLY	97-15	CFTC	09/04/97	4b(a)(i) 4m	4.20(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)(B) 9(a)(1)			
KESSLER, IRWIN R.	SD-98-5	CFTC	05/29/98	8a(3)(M) 8a(4)			KESSLER'S FB RESTRICTED AS FOLLOWS: MAY NOT SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OR GOVERNING BOARD SUBJECT TO REGULATION BY THE COMMISSION; MAY NOT ACT AS A FB/FT UNLESS HIS FLOOR TRADING ACTIVITIES ARE SUBJECT TO A SUPPLEMENTAL CERTIFICATION STATEMENT; RESTRICTIONS REMAIN IN EFFECT FOR TWO YEARS FROM THE DATE OF THE ORDER.
KETCHAM, RAYMOND	81-1189	D NJ	07/08/81		1.14 4.31(a) 1.10(c)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
KETCHAM, RAYMOND H.	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
KETCHAM, RAYMOND H.	84-42	CFTC	04/03/85	4b(A) 4o(1)	4.31(a) 4.31(b) 4.31(d) 4.31(e)(2) 4.31(f)(1)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KETCHAM, THERESA S.	84-42	CFTC	04/03/85	4b(A) 4o(1)	4.31(a) 4.31(b) 4.31(d) 4.31(e)(2) 4.31(f)(1)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KHOKHANI, JYOTI I.	78-64	CFTC	09/17/81	4d(1) 4k	1.7		CEASE & DESIST ORDER.
KIDDER PEABODY AND CO. INC.	88-6	CFTC	11/28/89	4b(D) 4c(a)(A) 4c(a)(B) 4g	1.35(a-1)(1) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.
KIDDER, PEABODY & CO. INC.	87-2	CFTC	11/25/86	4c(a)(A) 4g(1)	1.31(a)(1) 1.35()		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000.
KIDZ FIRST INTERNATIONAL, INC.	00-2071 RHK/SRN	D. MINN.	9/15/00			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; GREENE ESPEL, P.L.L.P IS APPOINTED AS LIMITED EQUITY RECEIVER, WITHOUT BOND.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KILDANI, PAUL	80-1	CFTC	11/10/80	4c(c) 4c(b)	32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
KILLMAR, PAUL	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DISGORGE \$3,100,000; NEVER ACT IN CAPACITY REQUIRING REGISTRATION; NEVER SEEK REGISTRATION IN ANY CAPACITY; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
KILPATRICK, JOHN	81-2250-W	WD TN	02/13/84	4o(1) 4 4b(A) 4b(C)		PERMANENT INJUNCTION	
KIM, BONG JAE	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING 63.12 OF THE NY EXECUTIVE LAW; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATING TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE ENGAGED IN SUCH BUSINESS.
KIM, SEUNGHO	00-24	CFTC	6/29/00	4o(1) 4k 4m(1) 4b(a)(i) 4b(a)(iii) 4n(4)	4.41(a) 4.41(b) 3.12 4.22 4.20 4.23 4.21 4.31 4.33	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000; TRADING PRIVILEGES REVOKED; RESTITUTION OF \$86,498 PLUS PRE-JUDGEMENT INTEREST OF \$14,000; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION.
KIMBERLYNN CREEK RANCH, INC. (A CALIFORNIA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
KING COMMODITY SERVICE, INC.	78-8293	SD FL	06/05/79	4f 4g	1.17 1.18(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b 4o(1)	1.18(b) 1.18(c) 1.23 1.32		
KING COMMODITY SERVICES, INC.	79-48	CFTC	05/25/79	4b 4d 4f 4g 4o	1.17 1.18(a) 1.23 1.32 1.18(b) 1.18(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED.
KING COMMODITY SERVICES, INC.	82-13	CFTC	03/10/82	4d(2) 4f(1) 4f(2) 4g	1.10(b) 1.12(a) 1.12(b) 1.17(a)(1) 1.20(a) 1.32 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
KING J. M. AND ASSOCIATES, INC.	78-4195EW	SD NY	09/20/78	4k(1) 4b 4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
KING, BRIAN	89-1923PN	D MD	11/01/91	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ALL CONTRACTS ARE RESCINDED AND RESTITUTION MUST BE MADE TO CUSTOMERS.
KING, DAVID M.	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
KING, HUGH P.	75-10	CFTC	09/13/76	6(b) 6(c)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
KING, J. MICHAEL	78-8293	SD FL	06/05/79	4b 4o(1) 4d(2) 4f 4g	1.17 1.18(a) 1.18(b) 1.18(c) 1.23 1.32	PERMANENT INJUNCTION	
KING, J. MICHAEL	79-48	CFTC	05/25/79	4b 4d 4f 4g 4o	1.17 1.18(a) 1.23 1.32 1.18(b) 1.18(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED.
KING, J. MICHAEL	95-9	CFTC	01/08/98	4b(a)(i)	166.3		CEASE & DESIST ORDER; REG.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(ii) 4b(a)(iii)			REVOKED AS AP; KING SHALL NOT APPLY OR ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION WITH THE COMMISSION.
KING, JOHN J.	90-14	CFTC	03/12/91	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.31(a)(1) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS; IF KING APPLIES FOR REGISTRATION AFTER 3 YEARS, CONDITIONS WILL APPLY TO HIS REGISTRATION.
KING, JOHN L.	87-20	CFTC	09/29/87	4k(2) 4m(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; REG. REVOKED AS CTA; NOT TO APPLY FOR REGISTRATION.
KING, JOHN R.	87-20	CFTC	09/29/87	4k(2) 4k(3) 4m(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; NOT TO APPLY FOR REGISTRATION.
KING, MICHAEL A.	90-28	CFTC	08/11/92	4f(2) 6(b)	1.10(d) 1.12(a)(1) 1.17(a)(1) 1.17(a)(4) 1.18(a)		CEASE & DESIST ORDER; MAY NEVER APPLY TO REGISTER WITH THE COMMISSION IN ANY CAPACITY.
KING, MICHAEL A.	92-17	CFTC	08/11/92	4c(b)	33.10 166.3		CEASE & DESIST ORDER; MAY NEVER APPLY TO REGISTER WITH THE COMMISSION IN ANY CAPACITY; MUST PAY FNTC RECEIVER \$25,000.
KINGSFIELD RACING, INC. (A NEVADA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
KINGSFIELD, PAMELA	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
KINGSFIELD, SAMUEL	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KINNAMON JACOBS, INC.	86-H-4366	SD TX	03/09/87	4(a) 4b(A)		PERMANENT INJUNCTION	PERMANENT RECEIVER. DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES & DECEPTIVE TRADE PRACTICES LAWS; ALL CONTRACTS RESCINDED; TO JOINTLY PAY TO STATE OF TEXAS \$10,000 FOR COSTS.
KIRK, PAUL	86-2	CFTC	09/10/86	4b(A) 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRADING PRIVILEGES REVOKED.
KIRKIS, EDWARD STEVENSON, III	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
KITCHENER, GARY	78-55	CFTC	05/25/79	4c(b)	32.5(a) 32.5(c) 32.7 32.9		CEASE & DESIST ORDER; REG. REVOKED AS AP.
KLEMEN, STEPHEN J. JR.	75-1	CFTC	02/09/76	4g(1) 4i	18.00		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; SUSTAINED ON APPEAL TO 7 TH CIR.
KLINE, JASON SCOTT	92-6427	SD FL	11/17/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a) 166.3	PERMANENT INJUNCTION	
KLINE, JAYSON SCOTT	94-8	CFTC	12/09/93	4b(a) 4c(b) 4o	4.31(g) 4.41(a) 33.7(f) 33.10 166.3		CEASE & DESIST ORDER; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.
KLITIN ASSOCIATES II	97CV4973	ED NY	08/02/99	4o(a)(A) 4o(1)(B)	4.22 4.22(a)(3)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ALL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				9(a) 4n(4)	4.22(b) 4.22(c)		CONTRACTS AND OTHER AGREEMENTS BETWEEN CUSTOMER AND DEFENDANTS ARE RESCINDED; CIVIL MONETARY PENALTY NOT IMPOSED BASED ON SWORN FINANCIAL STATEMENT.
KLITIN, OSCAR A.	97CV4973	E.D. N.Y	10/26/99			CONSENT ORDER FROM U.S. BANKRUPTCY COURT	DEBT OF \$115,772.86 PLUS POST JUDGEMENT INTEREST OWED AS SET OUT IS EXCEPTED FROM DISCHARGE IN BANKRUPTCY.
KNACK, ROBERT L.	84-9	CFTC	05/15/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FB.
KNIGHT WEALTH INTERNATIONAL	94-0220-C	ND CA	07/28/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; AN AMOUNT TO BE AGREED UPON BY THE PARTIES; \$693,766.42 ORDERED BY COURT 5/12/95.
KNIGHT WEALTH INVESTMENT	94-0220-C	ND CA	01/21/94	4(a)		COMPLAINT FILED	
KNOTKO, ANDREI	95-5416	SD NY	02/19/98	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CMP OF \$100,000 OR TRIPLE MONETARY GAIN-WHICHEVER IS GREATER; DISGORGEMENT TO RECEIVER IN THE AMOUNT OF \$17,133.83; ALL DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION TO TII CUSTOMERS - \$893,218.77 WITH INTEREST FROM THE DATE OF THE VIOLATIONS.
KOBLICA, LEONARD F.	83-20	CFTC	03/30/83	4a(2)(B)	150.2 15.04 150.11 150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
KOENIG, EMIL	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(b) 1.35(a)	PERMANENT INJUNCTION	
KOENIG, STANLEY W. JR.	85-6	CFTC	04/29/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KOERNER, WILLIAM	98-5	CFTC	01/23/98	4b(a) 4d(1) 4d(2) 4k(1) 9(a)(1)	1.20(c) 1.33 1.55 3.12		CEASE & DESIST ORDER; PERMANENT TRADING PROHIBITION; RESTITUTION IS WAIVED.
KOH, MYUNG SUK	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING NY EXECUTIVE LAW 63.12; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATED TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE ENGAGED IN SUCH BUSINESS.
KOHLER, JAMES THOMAS JR.	78-16	CFTC	08/21/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
KOHLI, CHUCK	95-1598	D. NJ	2/29/00	4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	FINAL JUDGEMENT	DISGORGEMENT OF \$30,000,000 PLUS PRE-JUDGEMENT INTEREST; FREEZE OF ASSETS.
KOKES, ED	92-13	CFTC	11/05/92	4c(b) 4k(3)	1.56(c) 33.10		CEASE & DESIST ORDER; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
KOKORIS, PAUL	78-55	CFTC	05/25/79	4c(b)	32.5(a) 32.5(c) 32.7 32.9		CEASE & DESIST ORDER; REG. REVOKED AS AP; MAY REAPPLY FOR REGISTRATION IN 2 YEARS.
KOKORIS, PAUL	85-3169	SD FL	10/25/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
KOLB, GERALD	76-20	CFTC	11/17/76	4b 4c			PEN. AMNT.: \$1,000.
KOLB, GERALD	76-2095R	CD CA	07/30/76	4b 4c		PERMANENT INJUNCTION	
KOLTER, THOMAS F.	93-19	CFTC	11/08/94	4b(a)(i) 4c(b) 4o(1)(B) 6(c)	33.10(a)		CEASE & DESIST ORDER; PERMANENTLY PROHIBITED FROM PRACTICING BEFORE THE COMMISSION AS AN ATTORNEY.
KONIG, SALOMON	91-7008	SD FL	05/29/92	4e		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; MARSHA LYONS APPOINTED TEMPORARY ESCROW AGENT; DEFENDANTS' DEPOSIT OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$223,348.57 TO BE USED TO RETURN CUSTOMER FUNDS.
KONKEL, MICHAEL JAMES individually and d/b/a VENTURE FUND, ICE CAPITAL MANAGEMENT, INC., AD ASTRA, INC., and THE INSCAPE FUNDS	00-T-547-S	M.D. ALA.	7/10/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.41(a) 4.22 4.20(c) 4.21(a) 4.21(b)	PRELIMINARY INJUNCTION	MAY 1, 2000 STATUTORY RESTRAINING ORDER REMAINS IN FULL FORCE & EFFECT; ACCOUNTING MADE; DEFENDANT ENTITLED TO REASONABLE LIVING EXPENSES NOT TO EXCEED \$3,500 PER MONTH AND \$2,500 PER MONTH FOR LEGAL FEES.
KORBEAN INTERNATIONAL INVESTMENT CORP.	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING 63.12 OF THE NY EXECUTIVE LAW; CEASE ALL ACTIVITIES & OPERATIONS; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATING TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE ENGAGED IN SUCH BUSINESS.
KORBEAN LINE, INC.	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTET & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING 63.12 OF NY EXECUTIVE LAW; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATING TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE IN SUCH BUSINESS.
KORSEN, STEVEN S.	81-14	CFTC	09/24/81				TO WITHDRAW AP APPLICATION AND NOT REAPPLY BEFORE 09/01/85.
KOSAR, MELANIE ROSE	90-6	CFTC	03/20/90	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV.. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY TO REGISTER, HAVE CONTRACT MAKRET MEMBERSHIP, OR APPEAR ON

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS IN ACCORDANCE WITH RELATED PROCEEDINGS.
KOSUGA, VINCENT W.	77-1	CFTC	10/06/82	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$4,000; TRAD. PRIV. SUSP. 1-2 MO.
KOTANSKY, RAYMOND D.	79-40	CFTC	04/01/80	6(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KOWALSKI, CHUCK	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c)	COMPLAINT FILED	
KOZIOL, EDWIN A., JR.	99 C 2357	N.D. IL.	7/17/00	4b(a)(i)		PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; RESTITUTION OF \$755,085 PLUS PRE-JUDGEMENT INTEREST OF \$115,950 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY & EDWIN KOZIOL. RESTITUTION OF \$49,000 PLUS PRE-JUDGEMENT INTEREST OF \$3,693 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY, KOZIOL, & JPM, INC. AND POST JUDGEMENT INTEREST.
KRAEBEL, ROY E.	87-3276 (JWB)	D NJ	08/11/87	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4m 4o(1)	1.20 3.4 4.20(c)	PERMANENT INJUNCTION	
KRAMER, KENNETH	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
KRAUS, STEVEN C.	88-32	CFTC	09/30/88		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
KRAVITZ, MAURY A.	77-1	CFTC	05/26/78	4c(a)			CEASE & DESIST ORDER.
KREMKE, ROBERT CLAIR	82-44	CFTC	01/23/86	4k	1.10(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; NOT TO

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REAPPLY FOR REGISTRATION FOR 5 YEARS.
KRIVACEK, MICHAEL BRADLEY	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; APPEALED; ENJOINED FROM TRADING PETROLEUM FUTURES; APPEALED; AFFIRMED ON APPEAL TO 9 TH CIR.
KRON, DAN	84-10501	ND IL	09/16/85	4o(1) 4(a)(1) 4(a)(2) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM VIOLATING ILLINOIS CONSUMER FRAUD & DECEPTIVE BUSINESS PRACTICES ACT.
KRON, DAN	85-26	CFTC	09/13/85	4(a)(i) 4(a)(2) 4b(A) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA.
KRONISH, MARC	99-CV-2640	ED PA	10/04/99	4(a) 4b(a) 4d 9(a)(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$3,000,000 WAIVED BASED ON SWORN FINANCIAL STATEMENT; SHALL NOT MAKE ANY PUBLIC STATEMENT REGARDING ALLEGATIONS.
KROSP, JAMES CECIL	79-03851	CD CA	09/16/82	4c(c) 4c(b)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
KUHLIK, IRA W.	84-4056JS	SD NY	06/26/84	4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	
KUHLIK, IRA W.	85-8	CFTC	09/18/86	4c(a)(A) 4c(a)(B) 4g 4e	1.38 1.35 18.04 1.20(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$21,000; SUSP. AS FB 20 MO.; TRADING PRIVILEGES SUSPENDED 2 ½ MONTHS.
KURTA, BRUCE J.	SD-94-17	CFTC	09/26/94				CONDITIONAL REGISTERED AS FT; CONDITIONS TO REMAIN IN EFFECT FOR TWO YEARS.
KUVET, ERIC	85-7871-KN	CD CA	12/05/88 12/14/88	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING CALIFORNIA BUSINESS AND PROFESSIONAL CODE; TO PAY CIVIL PENALTY OF \$500,000 TO THE STATE OF CALIFORNIA.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KVISTAD, PAUL	85-29	CFTC	01/27/89				DISMISSAL APPEALED BY COMMISSION ON 2/14/89; REMANDED ON OTHER ISSUE 4/24/99.
KYLE, JOHN N. II	88-22	CFTC	03/29/91	4c(b)	33.7(d) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
L R. ASSOCIATES, INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
L. G. Z. MANAGEMENT, INC.	85-6936	SD FL	12/19/85			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
L.A. FOREX, INC.	97-6800	CD CAL	03/02/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; ENJOINED FROM: ACTING IN ANY CAPACITY WHICH REQUIRES REGISTRATION UNDER THE CEA WITHOUT BEING REGISTERED BY THE COMMISSION; DIRECTLY OR INDIRECTLY SOLICITING, ACCEPTING, OR RECEIVING FUNDS FOR INVESTMENT IN COMMODITIES; L.A. FOREX SHALL PAY RESTITUTION IN THE AMOUNT OF \$1,121,643.50 AND A CMP OF \$550,000.
LA TOURETTE, JOHN	CV-98-N-1755-S	ND ALA	07/07/98	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1)(A) 4o(1)(B) 4n(4)	4.20(c) 3.12(a) 4.21 4.22 4.24 4.25 4.26	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
LABARBIERA, VINCENT	84-21	CFTC	11/06/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
LABIB, HANY	98-2	CFTC	07/15/99	4k(1)	3.12(a) 1.57 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$120,000; NOTICE OF EFFECTIVE DATE; MAY 28, 1999 ALJ DEFAULT JUDGMENT BECAME THE FINAL ORDER OF THE COMMISSION ON 7/1/99.
LACROSSE, CRAIG J.	90-20	CFTC	02/24/98				APPEALED; CEASE & DESIST;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADING PROHIBITION AND FB REGISTRATION RESTRICTION IMPOSED EARLIER ARE AFFIRMED BY THE COURT OF APPEALS, 2/24/99.
LACROSSE, CRAIG J.	SD-91-6	CFTC	02/24/98				APPEALED; THIS CASE WAS CONSOLIDATED WITH ADMIN. ACTION 90-20 WHICH WAS AFFIRMED BY THE COURT OF APPEALS, 2/24/98.
LAI, PETER T.	97-5	CFTC	01/12/99	4(a) 4b(a)(i) 4b(a)(iv) 4d(1) 4d(2) 4o(1) 4k(1) 9(a)(1)	3.10 3.12		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; APPEALED; COMMISSION AFFIRMS THE RESULT OF THE INITIAL DEISION WITHOUT OPINION, 1/12/99.
LAKE STATES COMMODITIES, INC.	94-C-4375	ND IL	07/19/94	4b(a)(i) 4b(a)(ii) 4d(1) 4k(1) 4k(2) 4m(1) 4o(1)		COMPLAINT FILED	
LAKEN, GLENN B.	SD-00-05	CFTC	6/19/00	8a(11)		COMPLAINT FILED	
LALLY COMMODITIES	85-40	CFTC	06/25/87		21.02		PEN. AMNT.: \$500.
LAMA, JESSE	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
LAMANTIA, SAM H.	79-52	CFTC	02/25/82	4c(a)(A)			CEASE & DESIST ORDER; REG. REVOKED AS FB.
LAMAR, THOMAS W.	98-70619	ED MI	08/05/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(3)(B)	4.20(a) 4.20(b) 4.20(c) 4.21(a) 4.22 4.30 4.31(b)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PERMANENTLY ENJOINED FROM DIRECTLY OR INDIRECTLY SEEKING REGISTRATION IN ANY CAPACITY; RESTITUTION & DISGORGEMENT OF \$2,838,169.08.
LAMB, LAWTON B.	83-42	CFTC	05/12/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
LAMBERT, SCOTT A.	SD-85-11	CFTC	07/23/85				CONDITIONALLY REGISTERED AS AN AP; UNCONDITIONALLY REGISTERED AS AN AP 9/20/87.
LAMBORN, ARTHUR H. III	78-10	CFTC	01/27/81	4(c)			CEASE & DESIST ORDER; SUSP.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(B)			AS FB 1 MO. OR LESS.
LANDIN, ALFRED	78-31	CFTC	05/25/79				CONSOLIDATED WITH DOCKET 78-55.
LANDIN, ALFRED	78-55	CFTC	05/25/79	4b 4c(b) 4g 4o	32.5(a) 32.5(c) 32.7 32.8 32.9 1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; REG. REVOKED AS AP.
LANDIN, ALFRED	78-8293	SD FL	06/05/79	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
LANE, GEORGE C.	92-26	CFTC	08/11/92	4k(1)			CEASE & DESIST ORDER; REG. REVOKED AS CTA.
LANER, STEVEN R.	SD-96-7	CFTC	05/17/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
LAO, YUAN-YI	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
LAROCQUE, JOHN PAUL	SD-97-1	CFTC	11/26/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
LARSON, DONALD E.	81-4409	CD CA	01/20/82	4n 4 4b 4h 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
LASPAGNOLETTA, RONALD	84-14	CFTC	06/22/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$130,000; TRAD. PRIV. SUSP. 14 MO.; SUSP. AS FB 120 MO.
LASPAGNOLETTA, RONALD	SD-94-15	CFTC	09/02/94				CONDITIONALLY REGISTERED AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING 9/2/94.
LAUBSCHER, DONNA	98-12	CFTC	04/09/98		14.8(c)		LAUBSCHER NOT TO APPLY TO THE COMMISSION FOR REINSTATEMENT FOR FIVE YEARS FROM THE DATE OF THIS ORDER.
LAUTENBACH, WESLEY B.	SD-85-5	CFTC	01/11/85				CONDITIONALLY REGISTERED AS AP.
LAVENDER, IRA MONROE	00-23	CFTC	6/29/00	4b(a)(i) 4b(a)(iii) 4m(1)		COMMISSION ORDER	TRADING PRIVILEGES REVOKED; SHALL NEVER APPLY FOR REGISTRATION W/ COMMISSION

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			IN ANY CAPACITY OR SEEK EXEMPTION FROM REGISTRATION; NEVER ENGAGE IN ANY ACTIVITY THAT REQUIRES REGISTRATION WITH COMMISSION NEVER TO ACT AS A PRINCIPAL, AGENT OR OFFICER OF ANY PERSON REGISTERED..
LAWRENCE, COLLINS & WEXLER, INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
LAWRENCE, EMIL	79-28	CFTC	10/15/80	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500.
LAWRENCE, EMIL	82-5	CFTC	01/31/84	6(b)			SUSP. AS AP 3 MO.; AFFIRMED ON APPEAL TO 9 TH CIR.
LAWSON, ROBERT A.	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT.
LAWTON, GRANT	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
LE VASSEUR POTATO CO., INC.	79-36	CFTC	08/24/81	4a(2)(B) 6(b)	150.10(a) 18.00 18.01 18.03 19.00 19.04 19.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.
LE VASSEUR, JOHN	79-36	CFTC	08/24/81	4a(2)(B) 6(b)	150.10(a) 18.00 18.01 18.03 19.00 19.04 19.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.
LEAF, DAHL AND COMPANY, LTD.	83-2	CFTC	02/10/84		1.16(b)(2) 1.10 1.16 1.16(d)(1) 1.17(c)(2) 1.17(c)(5) 1.16(e)(2)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO PRACTICE BEFORE CFTC FOR 3 YEARS AND TO DISGORGE AUDITING FEE.
LEAVEN, CARL D.	77-1	CFTC	09/11/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 24 MO.
LEAVITT, ALAN	85-1	CFTC	04/23/85	4b(A) 4o(1)			CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION.

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LECLAIRE, DAVID BENEDICT	SD-93-18	CFTC	05/30/95				DBL TO WITHDRAW FT APPLICATION; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY FOR 18 MONTHS.
LEE, ANDREW M.	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
LEE, ANDREW M.	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
LEIGH, MICHAEL	78-55	CFTC	05/25/79	4c(b)	32.3 32.5(a) 32.5(c) 32.7 32.8(a) 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 JOINTLY OWED; SUSP. AS AP 1 MO. OR LESS; TO WITHDRAW AP REGISTRATION APPLICATION; NOT REAPPLY FOR 3 YEARS.
LEMIEUX, CHARLES	76-928	SD NY	04/09/76	4c(b)	30.01	PERMANENT INJUNCTION	
LEMIEUX, CHARLES P.	77-550	WD MI	06/14/83	4c(b)	32.9 32.5(a) 32.5(c) 32.5(d)	PERMANENT INJUNCTION	DISGORGEMENT.
LEMIEUX, CHARLES P. III	77-6	CFTC	07/26/79	4c(b)	32.3 1.18 1.31 32.7		CEASE & DESIST ORDER.
LEMIEUX, CHARLES P. III	77-371T	D MA	02/21/85	4c(b)	32.3(b)(1) 32.7 32.3(b)(2) 32.3(a) 32.7(e)	PERMANENT INJUNCTION	
LENTON, HARRY	77-13	CFTC	03/23/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV. SUSP. 24 MO.
LENZ, HARRY E. JR.	78-6508	SD FL	06/28/79				ORDER.
LEONARD, BETTY	94-13	CFTC	05/24/95	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
LEONARD, ROBERT	94-13	CFTC	05/24/95	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; COOPERATE FULLY WITH THE COMMISSION.
LERMAN, CHARLES	SD-85-7	CFTC	06/07/85				SUSP. AS FB 4 MO.
LERMAN, LAWRENCE	92-22	CFTC	09/17/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT TRADE ON THE TRADING FLOOR OF ANY CONTRACT MAKRET FOR 10

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							YEARS.
LERNER, EDWARD	89-4	CFTC	12/13/91	4b(A)	166.3		CEASE & DESIST ORDER; REG. REVOKED AS AP; \$50,000 CIVIL MONETARY PENALTY TENTATIVELY ASSESSED.
LEVENTIS, GEORGE D.	89-5	CFTC	05/11/90	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
LEVETTE, SANDRA	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DISGORGE \$3,100,000; NEVER ACT IN CAPACITY REQUIRING REGISTRTION; NEVER SEEK REGISTRATION IN ANY CAPACITY; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
LEVINE, ARTHUR	78-4195EW	SD NY	09/20/78	4k(1) 4b 4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
LEVINE, MARK H.	78-10	CFTC	04/16/79	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; SUSP. AS FB 1 MO. OR LESS.
LEVINE, SCOTT JEFFREY	91-CIV-6136	SD FL	08/06/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3	PERMANENT INJUNCTION	
LEVINE, SCOTT JEFFREY	92-23	CFTC	07/27/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; REG. REVOKED AS AP; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
LEVITIS, ILYA	97-13	CFTC	2/4/00	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iv) 4d(1) 4d(2) 4k(1) 9(a)(1)	1.20 3.12(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION.
LEVITIS, LEON	97-13	CFTC	2/4/00	4(a) 4b(a)(i) 4b(a)(ii)	1.20 3.12(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; SHALL NOT APPLY FOR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iv) 4d(1) 4d(2) 4k(1) 9(a)(1)			REGISTRATION W/ COMMISSION.
LEWIS, BRIAN	80-27	CFTC	01/18/83	4k			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REFUND \$61,384 TO CLIENTS; NOT TO APPLY FOR REGISTRATION OR TO APPEAR AS COUNSEL BEFORE CFTC FOR 5 YEARS.
LEXUS FINANCIAL GROUP, INC.	97-4	CFTC	2/17/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS IB REVOKED; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
LICHTENSTEIN, MICHAEL H.	85-6936	SD FL	12/19/85			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; PENALTY AMOUNT OF \$120,000.
LIDA INTERNATIONAL FINANCIAL DATA	94-1256	CD CA	10/03/96	4(a)		PERMANENT INJUNCTION	DISGORGE \$800,000; ENJOINED FROM SELLING/PURCHASING OR OFFERING TO SELL OR PURCHASE ANY COMMODITY OR OPTION.
LIEBERG, DENNIS C.	87-13	CFTC	05/11/88	4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.
LIGAMMARI, PATRICK P.	90-1	CFTC	04/17/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED; SUSP. AS AP 1 MO. OR LESS.
LIGGIO, ANTHONY	79-28	CFTC	10/16/80	4c(b)	32.9		CEASE & DESIST ORDER; SUSP. AS AP 1 MO. OR LESS.
LINCOLN FEDERAL INVESTMENT CORPORATION	78-2240	WD TN	07/05/78	4c(b) 4f 4g	32.7 32.9 1.17 1.18 32.6	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
LINCOLNWOOD COMMODITIES OF CALIFORNIA, INC.	78-48	CFTC	01/31/84	4g(1) 4d(2) 4f(2) 4f(1)	1.37 1.20(a) 1.21 1.17 1.10		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 33 MO.; REG. REVOKED AS FCM, CTA & CPO.
LINCOLNWOOD COMMODITIES, INC.	80-28	CFTC	01/25/91	4g1.37			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; ALJ DECISION OF 3/27/86 AFFIRMED IN PART

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AND VACATED IN PART; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
LINCOLNWOOD, INC.	84-4056JS	SD NY	06/26/84	4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
LINCOLNWOOD, INC.	85-8	CFTC	02/21/86	4i 6(b) 4d(2) 4d	18.04 1.20(a) 1.28		FIRM DEFUNCT.
LIND, PHILIP	78-1069	SD FL	10/26/81	4c(b) 4o(1)	32.5(a) 32.8 32.9 30.01(c)	PERMANENT INJUNCTION	
LININGER, PATRICK	80-27	CFTC	05/12/83	4b 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$7,000; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
LINO INVESTMENT GROUP	94-0670	CD CAL	08/23/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DISGORGEMENT & RESTITUTION AMOUNT TO BE AGREED TO BY THE PARTIES.
LIONETTI, ROBERT V.	78-1692	SD FL	05/18/82	4c(b)	32.9	PERMANENT INJUNCTION	
LIU, NANCY	93-0067	CD CA	01/07/93	4(a)		RESTRAINING ORDER	
LIPPSE, RODNEY A.	78-67	CFTC	02/12/79				REG. DENIED AS AP.
LIT AMERICA, INC.	90-27	CFTC	07/16/91	4g(1) 4i 6(b)	17.00(a) 17.00(b) 17.00(d) 17.00(e) 17.01(a) 17.01(b) 17.01(d) 17.01(b)(2) 17.02(b)(2)		PEN. AMNT.: \$90,000.
LIT DIVISION OF FIRST OPTIONS OF CHICAGO	98-16	CFTC	1/27/00		166.3 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$25,000; RESTITUTION OF \$138,000.
LIT FUTURES LIMITED	90-23	CFTC	09/11/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$160,000 JOINTLY OWED.
LITTLE, MICHAEL J.	77-19	CFTC	06/26/80	4o(1)(4f(2)	30.02 1.17		CEASE & DESIST ORDER; SUSP. AS AP 3 MO.; SUSP. AS CTA 3 MO.
LITTLETON, GLEN E.	85-6	CFTC	01/03/86	4c(a)(A) 4c(a)(B) 4g(1)	1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FB 1 MO. OR LESS.
LITWACK, GREGORY	86-6778	SD FL	10/22/86	4c(c)		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING FLORIDA INVESTOR PROTECTION ACT; TO PAY \$5,000 TO RECEIVER.
LIU, EDWARD T.	85-28	CFTC	01/21/87	4i	18.04 15.01(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 60 MO.; APPEAL WITHDRAWN 03/24/87.
LIU, HANK T. H.	92-259	ED NY	03/10/93	4(a) 4b(A) 4d(1)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
LIU, JUSTIN SING	94-6	CFTC	11/23/93	4b(a)(i) 4b(a)(ii) 4m 4o(1) 9(a)	4.30 4.41		CEASE & DESIST ORDER; MAKE RESTITUTION OF \$160,000 TO TWO CUSTOMERS; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION.
LLOYD PROBBER & ASSOCIATES	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LLOYD, CARR AND COMPANY	77-6	CFTC	07/26/79	4c(b)	1.18 1.31 32.3 32.7		CEASE & DESIST ORDER; REG. DENIED AS FCM.
LLOYD, CARR AND COMPANY	77-371T	D MA	01/23/78			RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; PROCEEDINGS STAYED; TO BE LIQUIDATED IN BANKRUPTCY PROCEEDINGS.
LLOYD, CARR AND COMPANY	77-550	WD MI	06/14/83	4c(b)	32.9 32.5(a) 32.5(c) 32.5(d)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
LLOYD, CARR FINANCIAL COMPANY	77-6	CFTC	07/26/79	4c(b)	1.18 1.31 32.3 32.7		CEASE & DESIST ORDER; REG. REVOKED AS CTA.
LLOYD, CARR FINANCIAL COMPANY	77-371T	D MA	01/07/82				PROCEEDINGS STAYED; TO BE LIQUIDATED IN BANKRUPTCY PROCEEDINGS.
LOCKE, LIONEL WILLIAM	89-93-A2	D ND	05/08/91	4b(A)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ALSO ENJOINED FROM VIOLATIONS OF THE NORTH

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							DAKOTA SECURITIES AND FRAUD STATUTES; MUST MAKE RESTITUTION OF \$721,387; ENJOINED FROM APPLYING FOR REGISTRATION OR FOR SECURITIES LICENSE OF ANY STATE OR ACTING AS AN FCM, IB, FB, CTA, CPO OR AP OF ANY REGISTRANT.
LOCKE, SANDRA	89-93-A2	D ND	05/08/91	4b(A)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ENJOINED FROM APPLYING FOR REGISTRATION OR FOR SECURITIES LICENSE OF ANY STATE OR ACTING AS AN FCM, IB, FB, CTA, CPO OR AP OF ANY REGISTRANT.
LOEB RHOADES AND COMPANY	80-18	CFTC	04/01/80	4g(1)	1.35(a) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500 JOINTLY OWED.
LOEB RHOADES, HORNBLOWER AND COMPANY	81-7	CFTC	02/09/81	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$6,000 JOINTLY OWED.
LOEHRMANN, ROBERT	92-6893	SD FL	01/27/93	4m 4o 4d(1) 4k(1) 4k(2) 4b(A) 4b(B) 4c(b)	4.13 33.10 4.21	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; DISGORGEMENT OF \$20,272,000; FREEZE OF ASSETS WILL REMAIN UNTIL DISGORGEMENT IS MADE; 1/4/94 DISTRICT COURT HOLDS LOEHRMANN IN CONTEMPT FOR FAILURE TO OBEY 1/27/93 ORDER.
LOEWINGER, ROBERT	81-5	CFTC	01/15/82				REG. DENIED AS AP.
LOHAN, MICHAEL	86-0770	ED NY	04/01/87	4b(A) 4d(1) 4d(2) 4m(1) 4o(1)	1.20 3.4 4.20(c) 4.21(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; CONTEMPT FILED; PROHIBITED FROM ACTING IN CAPACITY REQUIRING REGISTRATION; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN CERTAIN COMMODITY FUTURES BUSINESS.
LOHAN, MICHAEL J.	89-2778MAC	ED NY	08/31/89	4b(A) 4d(1) 4d(2) 4o(1) 9(a)	1.20 3.4 4.20(a) 4.20(b) 4.20(c) 4.41(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LONDON COMMODITY HOUSE,	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INC.							AMNT.: \$25,000 CONTINGENT; REG. REVOKED AS CTA; REG. DENIED AS FCM; TO CEASE DOING BUSINESS.
LONDON FINANCIAL, INC.	97-12	CFTC	8/14/00	4b(a)(i) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 3 YEARS; SHALL COMPLY WITH UNDERTAKINGS INCLUDING: NEVER APPLYING FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY.
LONDON METAL EXCHANGE	92-443E(M)	SD CA	07/15/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JANET RANSON APPOINTED PERMANENT RECEIVER; NEVER ENGAGE IN FUTURES OPTIONS BUSINESS; NEVER APPLY FOR REGISTRATION.
LONDON, ALBERT O.	79-20	CFTC	07/22/85				SUSP. AS FB 3 MO.; TO CEASE & DESIST ANY PRACTICE PROHIBITED BY THE ACT.
LONDON, JOHN C. JR.	88-3	CFTC	11/17/87	4b(A)	1.56(c) 18.04(d)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
LONG, MICHAEL SCOTT	92-16	CFTC	10/26/92	4b	166.2		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
LOPEZ, RAY P.	79-41	CFTC	04/07/81	4c(b) 4c(c)	32.1		CEASE & DESIST ORDER; REG. REVOKED AS AP.
LOVE, CAROL J.	2:00CV00622ST	D. UT	9/25/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.20(a) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING MADE.
LOVE, JAMES SPENCER JR.	76-928	SD NY	03/01/76	4c(b) 4m 4o	30.01	PERMANENT INJUNCTION	
LOVE, RICHARD STRATTON	92-6427	SD FL	10/18/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a) 166.3	PERMANENT INJUNCTION	DISGORGEMENT OF \$250,000.
LOVE, RICHARD STRATTON	94-2	CFTC	10/21/93	4b(a) 4c(b) 4o	4.31(g) 4.41(a) 33.7(f) 33.10		CEASE & DESIST ORDER; REG. REVOKED AS CPO & CTA; PAY ANY MONIES REMAINING FROM THE \$250,000 DISGORGED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					166.3		PURSUANT TO THE ORDER OF PERMANENT INJUNCTION IN THE RELATED CIVIL PROCEEDING AS A CMP.
LOVITT, ALLEN B.	76-9	CFTC	02/13/76				CONDITIONALLY REGISTERED AS AP.
LOWRANCE, RICHARD M.	SD-91-8	CFTC	10/11/94				REG. REVOKED AS FB.
LOYD, DAVID MICHAEL	99-6560-CIV	S.D. FL.	7/13/00	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1) 4n(4)	4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; RESTITUTION OF \$2,595,307 PLUS PREJUDGEMENT INTEREST OF \$339,831.
LPA FUNDING ASSOCIATES, LTD.	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LUBASH, ROBERT	79-26	CFTC	06/15/84				NOT TO ENGAGE IN ANY BUSINESS REQUIRING REGISTRATION.
LUGER, DAVID ALAN	97-4	CFTC	2/17/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS AP REVOKED; JOINTLY & SEVERALLY OWE RESTITUTION OF \$8,613,570.44 WITH SINGER; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
LUNMANN II, KYLER F.	99-4	CFTC	12/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 13(a) 2(a)(i)(A) 13(b)		COMPLAINT FILED	
LUX, THOMAS D.	96-10	CFTC	09/25/96		1.16(c)(5) 1.16(d)(1) 1.16(e)(2)		CEASE & DESIST ORDER; CENSORED BY COMMISSION FOR REGISTRATION VIOLATIONS AND FOR IMPROPER UNPROFESSIONAL CONDUCT.
LUXENBURGER, PHILIP L.	97-2	CFTC	06/30/97		1.37(a)	AMENDED COMPLAINT FILED	
LYLE, ARTHUR G.	SD-87-2	CFTC	09/10/87				REG. REVOKED AS FB.
LYNCH, NORBERT	81-15	CFTC	04/22/83	4n(1) 4o(1) 4b(A)	1.10(c) 1.14(a) 4.21(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(3)	4.24 1.31 4.23(a) 1.10(d) 4.21(b)		REVOKED AS AP.
LYNN, GARY	78-1069	SD FL	01/17/83		166.3	PERMANENT INJUNCTION	
LYNNEWOOD EXPORT CORPORATION	77-15	CFTC	01/10/84	4a 6(b) 6(c) 9(b)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
LYONS, FREDERICK B.	85-11	CFTC	07/30/85	4m	4.31(a) 4.31(d) 4.31(f)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$4,000; TRAD. PRIV. SUSP. 3 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 1 YEAR.
MACDONALD, GORDON	78-0122	WD MO	12/20/78	4o		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
MACDONALD, GORDON	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
MACGREGOR FINANCIAL SERVICES, INC.	84-28	CFTC	02/08/85	4m 4b 13(a) 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED; TRAD. PRIV. SUSP. 60 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS; TO JOINTLY PAY ADDITIONAL \$50,000 PENALTY LESS CUSTOMER CLAIMS PAID W/ 18 MOS.
MACLEOD, WINFORD	87-12	CFTC	08/05/87	4b(A) 4b(B) 4b(C) 4m 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO REAPPLY FOR REGISTRATION; NOT TO TRADEFOR OWN ACCOUNT.
MACRO INTERNATIONAL GROUP	85-41	CFTC	01/27/86	4f(1)	21.02		CEASE & DESIST ORDER.
MADDEN, TERRENCE P.	89-5	CFTC	10/19/90				APPEALED.
MADEO, FRANCO	SD-93-4	CFTC	02/26/93	8a(3)(E) 8a(3)(G)			CONDITIONALLY REGISTERED AS FB.
MADUROS, ANN	84-24	CFTC	04/30/85		1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
MAGID, HAROLD JAY	93-4	CFTC	04/18/95	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; FB REGISTRATION SUSPENDED FOR 6 MONTHS; FT REGISTRATION SUSPENDED FOR 4 MONTHS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COOPERATE WITH COMMISSION; CANNOT APPEAR ON TRADING FLOOR FOR 4 MONTHS; PROHIBITED FROM TRADING FOR OTHERS FOR 6 MONTHS.
MAHAN, CAROLYN SUE	79-9	CFTC	05/29/79				REG. DENIED AS AP.
MAIN STREET INVESTMENT GROUP, INC.	94-661-CIV	MD FL	04/01/96	4b(a)(i) 4m(1) 4o(1) 9(a)(1) 4n(3)(A) 4n(3)(a)	4.20 1.31 4.21 4.22	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
MAINIERO, GARY J.	89-27	CFTC	03/31/92	4a(5) 6(b) 4i	18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 1-2 MO.; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN.
MAIRS, WILLIAMS N. JR.	78-9	CFTC	05/04/79				TO WITHDRAW AP REGISTRATION APPLICATION AND NOT TO REAPPLY FOR 10 YEARS.
MAKRIS, GEORGE E.	78-23	CFTC	05/03/78				REG. DENIED AS AP.
MALTBY, DANIEL P.	84-43	CFTC	11/08/84	4e 4g(1)	1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 18 MONTHS.
MAN INTERNATIONAL FUTURES, INC.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MANCINO, JOSEPH J.	90-1	CFTC	04/17/90		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED.
MANFRE, PAUL	97-13	CFTC	2/4/00	4(a) 4b(a)(i) 4d(1) 4k(1)	3.12(a)	COMMISSION ORDER	CEASE & DESIST ORDER.
MANN, GEOFFREY L.	99-S-1874	D COL	09/27/99	4c(b)	32.5 32.9 32.11 33.3	COMPLAINT FILED	
MANSEAU, PAUL E.	79-28	CFTC	10/15/80	4c(b)	32.9 32.3(b)		CEASE & DESIST ORDER; SUSP. AS AP 1 MO. OR LESS.
MANTICORE RESOURCES	93-C1022E	ND OK	12/11/98	9(a)(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION WITH THE

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMMISSION IN ANY CAPACITY.
MARANTETTE, DAVID T., III	CV99-00653	D. HAW	10/14/99	4b(a)(i) 4b(a)(ii) 4c(b) 4m(1) 4o(1)	33.10(a) 33.10(c) 4.41(a) 4.41(b)(i)	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT IN ANY CAPACITY REQUIRING REGISTRATION W/ COMMISSION.
MARCH, ARIC H.	91-4	CFTC	01/28/91	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; TO MAKE FULL RESTITUTION TO CUSTOMERS; NEVER TO APPEAR ON TRADING FLOOR DURING TRADING HOURS; SELL MEMBERSHIP ON THE CME; LIQUIDATE ALL FUTURES AND OPTION POSITIONS; NOT TO LEASE, PURCHASE, OR OTHERWISE USE ANY MEMBERSHIP IN ANY CONTRACT MARKET.
MARCHIANO, JOSEPH J.	95-15	CFTC	11/22/96		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; WITHDRAW AP REGISTRATION AND NOT TO APPLY FOR 1 YEAR; ANY SUBSEQUENT REGISTRATION WILL BE CONDITIONAL FOR 2 YEARS; COOPERATE WITH COMMISSION.
MARCHIANO, JOSEPH J.	98-6564	S.D. FL.	11/24/99	4f(a) 4k(1) 4k(5)	3.10(a)(2)(i)	FINAL JUDGEMENT	CIVIL MONETARY PENALTY OF \$330,000; ENJOINED FROM VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
MARCUS, H. ROBERT	90-1	CFTC	10/10/89	4c(a)(A) 4g	1.31(a)(1) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MARDER, NORRIS	86-0099	SD FL	01/21/86	4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; TO DISSOLVE CORPORATE DEFENDANT.
MARGULIES, DAVID	81-4409	CD CA	06/10/82	4 4h 4n 4b 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; ACCOUNTING ORDERED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARICOPA CAPITAL MANAGEMENT, L.C.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA ECLIPSE PARTNERS, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA FINANCIAL CORP.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA INDEX HEDGE FUND, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA INTERNATIONAL INVESTMENT CORP. d/b/a MARICOPA INVESTMENT CORP.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA INVESTMENT FUND, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARICOPA OVERSEAS, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARINGER, HENRY	86-36	CFTC	09/30/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
MARISIE, RICHARD	99-17	CFTC	4/10/00	4g	1.35(a-1)(1) 1.35(a-1)(2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; SHALL COMPLY W/ UNDERTAKINGS.
MARITOTE, FRANCIS	95-1	CFTC	03/04/98	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; THE TRADING PROHIBITION AND CIVIL PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM THE DATE OF THE ORDER; ON APPEAL.
MARK, GERALD L.	85-21	CFTC	09/18/85	4k	3.12		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
MARKET CAPITAL GROWTH, INC.	3:98CV0281AS	N.D. IND.	12/8/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20	PERMANENT INJUNCTION	DISGORGEMENT; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY OWE RESTITUTION OF \$1,026,965.15 WITH FIELD & SMITH. SHALL NOT SEEK REGISTRATION W/ COMMISSION.
MARKET EXCHANGE INDEX	88-C-3188	ND OK	05/22/89	4b(A) 4o(1) 4m(1)	4.23 4.21 4.22(c) 4.22(d) 4.22(e) 4.22(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
MARKET TIMER	78-65	CFTC	01/24/83	4b 4o			CEASE & DESIST ORDER; PEN. AMNT.: \$500; SUSP. AS CTA 12 MO.
MARKIEWICZ, NORBERT R.	SD-82-5	CFTC	06/08/82				REG. DENIED AS AP.
MARKIN, JULIE A.	77-21	CFTC	09/08/80	4b			CEASE & DESIST ORDER.
MARKS, LOUIS H.	87-11	CFTC	07/28/87	4b(A) 4d(2) 4f(2) 4g(1) 4k(1) 9(a)	1.17(a) 1.20(a) 1.20(c) 1.32 1.35(a-1) 3.12(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO SEEK REGISTRATION IN ANY CAPACITY.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					17.00(a)(1) 17.01(b) 17.01(c)		
MARKS, STEVEN JAY	96-9	CFTC	09/03/96	4m	4.31 4.36(d)		CEASE & DESIST ORDER; RETURN CUSTOMER FUNDS WITHIN 60 DAYS OF ORDER; NOTIFY CUSTOMERS BY E-MAIL OF C&D; MAKE REASONABLE EFFORTS TO SATISFY REPARATION & ARBITRATION AWARDS.
MARREN, JAMES M.	93-16	CFTC	06/26/97	4b(a)(iv)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; APPEALED.
MARRON, PETER S.	86-6	CFTC	03/02/93	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP.
MARSH, WILBUR	86-8	CFTC	02/24/86	4g 13(a)	1.31(a)(1) 1.35(a) 1.35(a-1)(1)		CEASE & DESIST ORDER.
MARSHBURN, KEVIN	97-8	CFTC	05/20/97	4b(a)(i) 4g 4b(a)(ii) 4b(a)(iii)	166.3 1.31(a) 1.35(a) 1.35(a-1)(1)	COMPLAINT FILED	
MARTIN, EDWARD d/b/a BLACK GOLD INTERNATIONAL	00-30	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
MARTIN, MICHAEL RICHARD	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR A ONE YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
MARTIN, RICHARD P.	88-2	CFTC	11/10/87	4k(1) 4k(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION FOR ONE YEAR.
MARTINSON, RICHARD	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
MARTURANO, PAUL	93-5	CFTC	03/02/93	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 3 MO.; REGISTRATION CONDITIONED AFTER SUSPENSION.
MARX, MOSES	86-12	CFTC	02/24/86	4g	1.35(a-1)		CEASE & DESIST ORDER.
MASERI, RICHARD E.	95-6970	SD FL	11/05/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 9(a)(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
MASON, STEVEN SCOTT	SD-93-1	CFTC	12/29/92				CONDITIONALLY REGISTERED; FOR 2 YEARS – NOT ACT AS PRINCIPAL, ETC. OF REGISTERED ENTITY; NOT ACT IN SUPERVISORY CAPACITY OVER REGISTRANT; NOT EXERCISE DISCRETIONARY AUTHORITY OVER CUSTOMER ACCOUNT; SUBMIT SUPPLEMENTAL SPONSOR; ONLY RECEIVE CUSTOMER ORDERS THROUGH EMPLOYER; NOT SERVE ON A DISCIPLINARY COMMITTEE ETC.
MASS MEDIA MARKETING INC.	97-1492	SD FL					
MASS. COMMODITY INC.	80-3	CFTC	02/26/82	4m			CEASE & DESIST ORDER.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MASSARO, JAMES W.	82-777	ND NY	09/17/82	4o 4b(A) 4o(1)	4.30 4.31 4.41	PERMANENT INJUNCTION	DISGORGEMENT.
MASSARO, JAMES W.	83-34	CFTC	07/07/83	4b(A) 4o(1)	4.30 4.31(a) 4.31(b) 4.41		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
MATEJKA, MICHAEL THOMAS	98CIV5588	SD NY	05/11/99				DEFENDANTS JOINTLY & SEVERALLY PAY CIVIL MONETARY PENALTY OF \$8,204,458.00 AND RESTITUTION OF \$2,701,486.00 PLUS INTEREST; ALL CONTRACTS WITH CUSTOMERS ARE RESCINDED.
MATHAS, PAUL E.	79-45	CFTC	04/01/82				REG. DENIED AS AP.
MATRIX TRADING GROUP, INC.	00-08880 CIV-ZLOCH	S.D. FL.	12/4/00	4c(b)	33.10	TERMPORARY RESTRAINING ORDER	10/30/00 STATUTORY RESTRAINING ORDER IS VACATED.
MATROS, STUART	76-20	CFTC	11/17/76	4b 4c 4k			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
MATTHEWS, JOHN	94-13	CFTC	01/23/96	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PROHIBITION.
MATTOX, MARCUS	76-20	CFTC	07/06/77	4b 4k			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
MAWHINNEY, MICHAEL	SD-95-7	CFTC	01/17/95				CONDITIONAL FT REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
MAX GROW JAPAN COMPANY, LTD.	90-1	CFTC	05/04/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 24 MO.
MAXWELL, ROBERT	87-2591HAA	D NJ	10/22/93	4b(a)		PERMANENT INJUNCTION	DISGORGEMENT OF \$200,000; ENJOINED FROM VIOLATIONS OF NJ & FL STATUTES.
MAYE COMMODITIES, INC.	92-21	CFTC	02/25/98	4b(A) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; ON APPEAL.
MAYER, BARRY	92-21	CFTC	02/25/98	4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. AMTN.: \$150,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB; ON APPEAL.
MAYER, LEON	78-60	CFTC	08/28/81	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
MAYERS, TERI LYNN	89-25	CFTC	08/03/90	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 3 MO.; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY.
MAYNE, RANDALL T.	88-6	CFTC	02/13/90	4c(a)(B)	1.38(a)		PEN. AMNT.: \$8,000.
MAYNE, RANDALL T.	88-7	CFTC	08/21/89	4g	1.35(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,000.
MAYRSOHN, CASPER	77-15	CFTC	08/09/77	9(b) 4a 6(b) 6(c)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
MAZUMA TRADING GROUP, INC. D/B/A PINPOINT MARKETING LTD.	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
MAZZARA, FRANK J.	93-2	CFTC	06/30/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY FOR A PERIOD OF ONE YEAR AFTER THE DATE OF THE ORDER.
MCBRIDE, MATTHEW T.	SD-96-3	CFTC	02/12/96	8a(3)(E)			CONDITIONALLY REGISTERED AS A FT FOR 2 YEARS.
MCCABE, EDWARD	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; SUSP. AS AP 3 MO.
MCCAFFERY, GEORGE	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; REG; DENIED AS AP.
MCCALMAN, HERBERT DUVALLE	80-4801	CD CA	03/19/81	4b 4 4h 4m 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
MCCARTHY, GEORGE J.	89-25	CFTC	08/03/90	4a(5) 4i 6(b)	18.04(a)(6) 18.04(a)(8) 18.04(d)(i) 18.04(d)(ii)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 12 MO.; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 12 MONTHS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MCCARTHY, WILLIAM J. MCCOLLUM, JOHN J.	87-934-RE 97-14	D OR CFTC	09/01/87 08/13/97	4(a) 4o(1)	166.3	PERMANENT INJUNCTION	CEASE & DESIST ORDER; RESTITUTION OF \$2.6 MILLION JOINTLY OWED; WILL NOT APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION REGULATES.
MCCONNELL, HOWARD J.	83-C5141	ND IL	08/24/83	4b 4d 4g		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
MCCORKELL, GARY LYNN	94-12	CFTC	11/02/94	4b(a)(i) 4b(a)(ii) 4m 4n(3)(A) 4o(1) 9(a)(1)	1.31 4.20(a) 4.20(b) 4.20(c) 4.23		CEASE & DESIST ORDER; PEN. AMNT.: \$233,000; TRADING PRIVILEGES REVOKED; EFFECTIVE AS FINAL ORDER 12/05/94.
MCDINE & ASSOCIATES	SD-94-8	CFTC	04/18/94	8a(2)(C)			REG. REVOKED AS CTA & CPO.
MCDINE & ASSOCIATES FUTURES FUND LTD. PARTN	92-459-C-1	SD OH	06/11/92			PRELIMINARY INJUNCTION	RECEIVER APPOINTED; SYDNEY WEIL OF THE LAW FIRM BECKMAN, WEIL, SHEPARDSON & FALLER, 1200 MERCANTILE CENTER, 120 E. 4 TH STREET, CINCINNATI, OHIO 45202 (513/621-2100) NAMED RECEIVER.
MCDINE & ASSOCIATES, INC.	92-459-C-1	SD OH	10/13/93	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(g)(1) 4.20(c)	PERMANENT INJUNCTION	
MCDINE LIMITED PARTNERSHIP	92-459-C-1	SD OH	06/11/92			PRELIMINARY INJUNCTION	RECEIVER APPOINTED; SYDNEY WEIL OF THE LAW FIRM BECKMAN, WEIL, SHEPARDSON & FALLER, 1200 MERCANTILE CENTER, 120 E. 4 TH STREET, CINCINNATI, OHIO 45202 (513/621-2100) NAMED RECEIVER.
MCDINE, DAVID D.	92-459-C-1	SD OH	10/13/93	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(g)(1) 4.20(c)	PERMANENT INJUNCTION	NOT TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; PAY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1)			RESTITUTION OF \$1,773,108.00.
MCDINE, DAVID DIRK	SD-94-8	CFTC	04/18/94	8a(2)(C)			REG. REVOKED AS AP.
MCFARLIN, JOHN K.	92-8	CFTC	12/09/91	4b(A) 4o(1) 4m(1)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NEVER TO APPLY FOR REGISTRATION.
MCGEE, KAI KAMAKANI	SD-92-4	CFTC	11/17/92	8a(3)(J)			REG. REVOKED AS CPO, CTA & AP.
MCGHEE, ANDREW	83-4	CFTC	05/30/86	4b(A) 4d(2) 4g(1) 9(a)	1.20(a) 1.35 166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY FOR 7 YEARS.
MCGHEE, FRANK H.	83-4	CFTC	05/30/86	4b(A) 4d 4d(2) 4g(1) 4g(2) 9(a)	1.20(a) 1.31 1.32 1.35 1.35(b)(1)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 90 MO.; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY.
MCGIVNEY, JOSEPH P.	SD-87-3	CFTC	12/18/90				REG. REVOKED AS AP & CPO.
MCGIVNEY, JOSEPH P., SR.	99 C 2357	N.D. IL.	7/17/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a)(i) 4.20(c) 4.21	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ THE COMMISSION; DISGORGEMENT OF \$804,085 WILL SATISFIED THROUGH RESTITUTION PAYMENTS; RESTITUTION OF \$755,085 PLUS PRE-JUDGEMENT INTEREST OF \$115,950 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY & EDWIN KOZIOL. RESTITUTION OF \$49,000 PLUS PRE-JUDGEMENT INTEREST OF \$3,693 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY, KOZIOL, & JPM, INC. AND POST JUDGEMENT INTEREST.
MCGIVNEY, MARITA	99 C 2357	N.D. IL.	7/17/00			ORDER OF EQUIABLE RELIEF	FREEZE OF ASSETS; DISGORGMENT OF \$100,000 PLUS POST JUDGEMENT INTEREST, DEFERRED FOR 3 YEARS BASED ON SWORN FINANCIAL STATEMENT; ANY RESTITUTION MADE BY J. MCGIVNEY SHALL SATISFY DOLLAR-FOR-DOLLAR THIS DISGORGMENT AMOUNT

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BEFORE EXPIRATION OF 3 YEAR PERIOD.
MCGOLDRICK, NEIL T.	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.; APPEALED.
MCGRATH, F. PATRICK	75-4-603	D MN				COMPLAINT FILED	
MCGUINESS, EVELYN M.	78-34	CFTC	12/01/80	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
MCINTOSH, RONALD J.	85-1555	ND CA	06/10/88 08/29/91	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ORDER OF DISGORGEMENT ISSUED ON 5/3/89; RM TO DISGORGE \$336,241.
MCLAURIN, ZEBEDEE V.	95-C-0285	ED IL	07/01/96	4b(a)(i) 4b(a)(ii)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ALL CONTRACTS RESCINDED.
MCNAIR, WILLIAM A.	78-10	CFTC	01/27/81	4g	1.35		SUSP. AS AP 1 MO. OR LESS.
MCPHERSON, JOHN A.	99-6	CFTC	3/9/00	4c(b) 4d(1)	1.33(a) 1.55 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
MCVEAN TRADING & INVESTMENTS	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	1.35(a-1)(1) 17.00(a) 17.01(b) 18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$875,000.
MCVEAN, CHARLES DOW	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	1.35(a-1)(1) 17.00(a) 17.01(b) 18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$875,000.
MCVEY WHITNEY, INC.	86-H-2284	SD TX	02/24/88	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING TEXAS SECURITIES LAWS.
MDSK ASSOCIATES, INC.	92-00361	D CT	08/06/92	4(a)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; THE COURT ALSO RESCINDED ALL OUTSTANDING CONTRACTS.
MECA INTERNATIONAL INC.	96-74525	ED MI	05/20/98	4b(a)(i) 4b(a)(ii) 4m(1) 4m	4.21(a) 4.21(b) 4.22 4.20(c)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k(2) 4o(1)(B) 9(a)(1) 4n(4)			UNDER THE ACT AND ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT.
MECKLENBURG, FREDERICK	88-3	CFTC	11/17/87		1.56(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MEEK, DAVID W.	84-6495-JE	SD FL	07/01/85 04/01/86	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; CHARGED WITH CIV. CONTEMPT.
MEEK, DAVID W.	85-6451	SD FL	06/09/92	4m 4o		PERMANENT INJUNCTION	
MEGATECH FINANCIAL SERVICES, INC.	84-10501	ND IL	09/16/85	4o(1) 4(a)(1) 4(a)(2) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM VIOLATIONS OF ILL. CONSUMER FRAUD & DECEPTIVE BUS. PRACTICES ACT.
MEGATECH FINANCIAL SERVICES, INC.	85-26	CFTC	09/13/85	4(a)(1) 4(a)(2) 4b(A) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
MEIERFIELD, GILBERT	80-28	CFTC	05/04/82	4b 4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
MEKERTICHIAN, EDMOND	92-21	CFTC	12/16/92	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 6 MO.; NOT SEEK REGISTRATION FOR 1 YEAR; CONDITIONS IMPOSED IF REGISTRATION SOUGHT BETWEEN 1 & 2 YEARS; NOT APPEAR ON FLOOR FOR 6 MONTHS; AFTER, REGISTRATION SUBJECT TO CONDITIONS FOR 1 YEAR.
MEL SCHNELL COMPANY	86-7	CFTC	02/24/86		1.35(a-1)(2)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MENKES, MICHAEL S.	78-41	CFTC	09/22/81				REG. REVOKED AS AP.
MENKES, MICHAEL S.	80-15	CFTC	02/28/83	4b 4o			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
MERCHANTS TRADING	89-25	CFTC	08/03/90	4g(1)	17.00(b)		CEASE & DESIST ORDER; PEN.

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COMPANY				6(b)	17.01(b)(7) 17.01(b)(7) 17.02(b)(2) 166.3		AMNT.: \$32,000.
MERCHANTS TRADING COMPANY	90-10	CFTC	04/24/90		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MERDINGER, STANLEY	79-0827	SD NY	10/05/82	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS.
MERRILL LYNCH & CO., INC.	99-11	CFTC	05/20/99	6(c) 6(d) 9(a)(2)		COMPLAINT FILED	
MERRILL LYNCH FUTURES	97-10	CFTC	06/24/97	4c(a)(A)	1.37(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$175,000.
MERRILL LYNCH FUTURES, INC.	85-6	CFTC	11/14/85	4c(a)(A) 4c(a)(B)	1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
MERRILL LYNCH FUTURES, INC.	85-44	CFTC	09/27/85	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000.
MERRILL LYNCH FUTURES, INC.	85-48	CFTC	09/30/85	4b 4g	1.33 1.37 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TO REVIEW AND REFORM CERTAIN TRAINING AND BRANCH OFFICE OPERATIONS AND TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
MERRILL LYNCH FUTURES, INC.	88-13	CFTC	03/22/88	4g(1)	1.31(a)(1) 1.31(a)(2) 1.35(a) 1.35(a-1)(2) 166.3		PEN. AMNT.: \$150,000 JOINTLY OWED.
MERRILL LYNCH INTERNATIONAL, INC.	99-11	CFTC	06/30/99	6(c) 6(d) 9(a)(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000,000 JOINTLY OWED.
MERRILL LYNCH, PIERCE, FENNER & SMITH INC.	88-13	CFTC	03/22/88	4b(A) 4g(1)	1.31(a)(1) 1.31(a)(2) 1.35(a) 1.35(a-1)(1) 1.35(a-1)(2) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED.
MERRILL LYNCH, PIERCE, FENNER, AND SMITH	86-8	CFTC	02/24/86	4g	1.31(a)(1) 1.35(a) 1.35(a-1)(1)		CEASE & DESIST ORDER; PEN. AMTN.: \$35,000; TO UNDERTAKE IMPROVEMENTS IN RECORDKEEPING.
MERWIN, JOHN	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED.
MERWIN, JOHN	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	

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METALLICO	86-1479G	ND TX	06/16/86	4c(c) 4c(b)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED; ACCOUNTING ORDERED; PROHIBITED FROM VIOLATING TEXAS SECURITIES ACT.
MEYERS, BARBARA	80-27	CFTC	01/09/84	4b 4h 4k			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
MG FUTURES, INC.	95-14	CFTC	07/27/95		1.10(b)(1)(i) 1.12(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,250,000 JOINTLY OWED; COMPLY WITH UNDERTAKINGS IN 7/27/95 ORDER; COOPERATE WITH COMMISSION.
MG REFINING & MARKETING, INC.	95-14	CFTC	07/27/95	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,250,000 JOINTLY OWED; COMPLY WITH UNDERTAKINGS IN 7/27/95 ORDER.
MICHELETTO, JAMES D.	SD-90-1	CFTC	03/27/90				REG. DENIED AS FB; APPEALED ON 5/17/90; APPEAL DISMISSED AS UNTIMELY ON 11/14/91.
MICHELETTO, JAMES D.	SD-95-15	CFTC	04/10/95				FT CONDITIONAL REGISTRATION TO BE IN EFFECT FOR 2 YEARS.
MICHNO, KAZIMIR	82-27	CFTC	09/12/86	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4h(2) 4n(3)(A) 4n(4) 4o(1)	1.7 1.20(a) 4.20 4.21(a) 4.21(b) 4.21(c) 4.22(a) 4.21(g) 4.22(n) 4.23 1.31 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; PEN. AMNT.: \$9,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; APPEAL WITHDRAWN 11/24/86.
MICHNO, KAZIMIR	90-16	CFTC	04/22/91	6(b) 8b 4k(3)	4.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
MID ATLANTIC OIL EXCHANGE	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MIDAMERICA COMMODITY EXCHANGE, INC.	77-20	CFTC	08/16/77	5a(8)	1.51 1.53		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
MID-AMERICAN MONETARY EXCHANGE INC.	85-72563	ED MI	11/01/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
MIDLAND RARE COIN EXCHANGE, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY AND SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,499,950 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
MID-SOUTH COAL, INC.	81-2250-W	WD TN	06/10/81	4 4h 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
MIDWEST COMMODITY CORPORATION	83-40	CFTC	09/21/83	4o(1)(B) 4n(4)	4.22(a) 4.22(b) 4.22(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
MILANO, MICHAEL	80-30	CFTC	06/23/87	4b 4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
MILLBRAE SUN HING BULLION	92-9	CFTC	12/09/91	4(a) 4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY FOR REGISTRATION.
MILLBRAE SUN HING BULLION LIMITED	90-5214R	CD CA	12/17/91	4(a) 4b(A)		PERMANENT INJUNCTION	
MILLER, HOWARD	92-4	CFTC	03/12/98	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$600,000; REG. REVOKED AS AP; ON APPEAL.
MILLER, LEON FRANCIS JR.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF

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							CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
MILLER, STEPHEN A.	85-13	CFTC	07/03/85	4i 4c(b)	15.01(c) 18.04 33.2(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRAD. PRIV. SUSP. 60 MO.
MILLER, STEPHEN W.	80-4	CFTC	06/20/84	13(a) 4d(2) 4f(2) 4g(1) 4g(3) 4g(4)	1.20(a) 1.26(a) 1.28 1.17 1.32 1.23 1.33 1.33(a) 1.35(a-1)		PEN. AMNT.: \$300.
MIMS, GERALD D.	92-522	MD FL	05/07/93	4b 4d(1) 4m(1) 4o		PERMANENT INJUNCTION	MAIL PROMISSORY NOTES AND MAKE PAYMENTS TO FORMER CUSTOMERS TOTALING \$313,978.00; 11/07/94 U.S. DISTRICT COURT OF FLORIDA HOLDS MIMS IN CONTEMPT OF COURT FOR FAILURE TO COMPLY WITH MAY 7, 1993 ORDER.
MIMS, GERALD D.	93-7	CFTC	05/11/93	4b 4d(1) 4m(1) 4o			CEASE & DESIST ORDER; NEVER SEEK REGISTRATION OR ACT IN A CAPACITY REQUIRING REGISTRATION.
MINI-SYSTEMS, INC.	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(a) 1.35(b)	PERMANENT INJUNCTION	
MINNEAPOLIS COMMODITIES, INC.	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(a) 1.35(b)	PERMANENT INJUNCTION	
MINNEAPOLIS GRAIN EXCHANGE	88-27	CFTC	09/20/88	5a(8)	1.51 1.53 8.06		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; UNDERTAKES TO MAINTAIN A LOG OF ALL INVESTIGATIONS OPENED AND CLOSED BY THE DEPARTMENT OF AUDITS AND

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							INVESTIGATIONS; TO PROVIDE A COPY OF THE LOG INVESTIGATIONS TO THE DIVISION OF TRADING AND MARKETS MONTHLY.
MINTZ-MARCUS-GOLD & CO.	86-9	CFTC	02/24/86		1.31 1.35(a) 1.35(a-1)(2) 1.35(a-1)(4)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MISHRICK, SHUKRY	83-55	CFTC	12/02/83				REG. REVOKED AS AP.
MITCHEL, ROBERT J.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY AND SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,499,950 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
MITCHELL, KEVIN	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
MITCHELL, ROBERT J.	97-7422	SD FLA	10/20/99	4b(a)(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDER; JOINTLY & SEVERALLY OWE RESTITUTION AND DISGORGEMENT OF \$9,499,950 PLUS PRE-JUDGMENT INTEREST.
MITSOPOULOS, CONSTANTINE	99-17	CFTC	8/31/00	4g	1.35(a-1)(1) 1.35(a-1)(2) 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,000,000; SHALL COMPLY WITH UNDERTAKINGS, INCLUDING NEVER TO APPLY FOR REGISTRATION W/ COMMISSION.
MITSUBISHI INTERNATIONAL CORP.	97-10	CFTC	06/24/97	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.
MITTELSTADT, BRUCE W.	SD-95-17	CFTC	06/27/95				CONDITIONALLY REGISTERED FOR 2 YEARS AS A FT.
MITTELSTADT, BRUCE W.	92-7	CFTC	11/26/91	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; AFTER

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							SUSPENSION EXPIRES, MAY ONLY TRADE FOR OWN ACCOUNT; MUST LIQUIDATE POSITIONS BEFORE COMMENCEMENT OF TRADING SUSPENSION.
MIYAKO TSUSHO COMPANY, LTD.	90-1	CFTC	04/17/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRAD. PRIV. SUSP. 24 MO.
MIZRAHI, SAM	82-39	CFTC	01/20/84	4c(b) 4c(c) 4k(4)	1.14(b) 32.9 32.11		CEASE & DESIST ORDER; PEN. AMNT.: \$1,500; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
MIZRAHI, SAM	83-7	CFTC	12/06/82				CONSOLIDATED WITH 82-39.
MOBLEY TRADING & INVESTMENT CORP.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MOBLEY, DAVID M., SR.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MOCATTA METALS CORPORATION	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESSIT ORDER; PEN. AMNT.: \$145,000.
MOCK, DALE LUTHER	00-22	CFTC	6/27/00	4b(a)(i) 4b(a)(iii)	166.2	COMPLAINT FILED	
MO-COMM FUTURES INCORPORATED	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER; REG. REVOKED AS CPO.
MO-COMM FUTURES, INC.	78-0122	WD MO	12/20/78	4o		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
MODIST, MARK L.	97-7422	SD FLA				COMPLAINT FILED	
MOELLER, ORVILLE W.	85-185-JLQ	ED WA	08/07/87	4o(1)		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING SECTION 17(a) OF THE SECURITIES ACT OF 1933.
MONARCH EQUITY CORPORATION	87-341R	SD CA	09/14/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; MAY NOT SEEK REGISTRATION

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							WITH THE COMMISSION OR ENGAGE IN ACTIVITIES THAT WOULD REQUIRE REGISTRATION.
MONCUR, ROBERT	2:98CV00216J	CD UT	08/25/99	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$21,505; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS PERMANENTLY RESTRAINED, ENJOINED AND PROHIBITED FROM DIRECTLY OR INDIRECTLY: 1) ACTING AS FCM, CPO, CTA, IB, FB, FT OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION WITH COMMISSION; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; CIVIL MONETARY PENALTY NOT ORDERED BASED ON SWORN FINANCIAL STATEMENT.
MONDI, DAVID M.	84-20	CFTC	05/19/87	4c(a)(A) 4i 6(b)	18.00 18.01(a) 18.04(e) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
MONETARY MARKETING, INC.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
MONEX INTERNATIONAL, LTD.	84-50	CFTC	11/08/84	19	31.5(a)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$125,000.
MONIESON, BRIAN P.	89-1	CFTC	06/07/93	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FB.
MONTE, FRED	99-8750-CV	S.D. FL.	10/29/99			REVISED EX PARTE SRO	ACCESS BOOKS & RECORDS; PROTECT BOOKS & RECORDS; ASSET FREEZE LIFTED.
MONTE, JEANNE H.	99-8750-CV	S.D. FL.	10/29/99			REVISED EX PARTE SRO	ACCESS BOOKS & RECORDS; PROTECT BOOKS & RECORDS; ASSET FREEZE LIFTED.
MONTFORT, JAMES BROWN III	SD-91-4	CFTC	01/22/92	8a(3)(G) 8a(3)(M) 8a(4) 8a(N)			MAY NOT APPLY TO REGISTER FOR 5 YEARS, BUT MAY APPLY FOR CONDITIONAL REGISTRATION IN 2 YEARS; WITHDRAW REGISTRATION.
MONTGOMERY COMPANY, INC. (THE	87-15	CFTC	02/11/88	4i	17.00 17.01 17.02		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MOORE, EARL	79-1436	ND IL	12/08/80	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
MOORE, STANLEY EDWARD	00-31	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; CTA REGISTRATION SUSPENDED FOR 6 MONTHS; SHALL COMPLY W/ UNDERTAKINGS.
MOORGATE LTD.	92-041-LDG	D NV	08/03/93				COURT ORDER; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; COURT ORDER JOHN H. MOWBRAY IS THE TEMPORARY RECEIVER; SURRENDER ALL CONTRACTS RESCINDED.
MORAN, JOHN	81-2593	D NJ	09/28/81	4b(A) 4m 4n(1) 4o(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	
MORAN, JOHN	82-4	CFTC	11/20/81	4b(A) 4m 4n(1) 4o(1)	1.10(c) 1.14 4.31(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & AP; NOT TO REAPPLY FOR REGISTRATION.
MORGAN J. DALEY CORPORATION	81-770	D MN	04/03/85	4o(1) 4n(4) 4n(3)(A)	1.16 4.22(d) 4.22(h) 4.23 1.31(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
MORGAN J. DALEY CORPORATION	85-15	CFTC	03/14/85	4n(3) 4n(4) 4o(1)	1.16 1.31(a) 4.21 4.22(d) 4.22(b) 4.23		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA.
MORGAN, HARRIS & SCOTT, LTD.	79-4313	SD NY	09/26/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
MORGAN, OLMSTEAD, KENNEDY & GARDNER	85-42	CFTC	04/02/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
MORIK, YOSSI	89-5	CFTC	10/19/90				APPEALED.
MORMENEO, CARLOS MANUEL	87-14	CFTC	04/26/88				SEE DOCKET NO. 88-1.
MORMENEO, CARLOS MANUEL	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e)		CEASE & DESIST ORDER; PEN. AMNT.: \$37,500; SUSP. AS AP 1-2 MO.; ALSO SETTLES PROCEEDING IN DOCKET 87-14;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					33.10 166.3		NOT TO ACT IN SUPERVISORY CAPACITY FOR 2 YEARS; CIVIL PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWED FUNDS EXCEED CUSTOMER CLAIMS.
MORRIS, JOHN	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
MORRISON, MARVIN J.	88-K-271	D CO	07/05/89	4b(A) 4b(B) 4b(C) 9(a) 4d(1) 4d(2)	1.20(a)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; CERTAIN ASSETS FROZEN.
MORRISON, RONALD	87-0341R	SD CA	02/05/90	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CALIFORNIA BUSINESS AND PROFESSIONS CODE; PROHIBITED FROM PARTICIPATING IN BROKERAGE BUSINESS SUBJECT TO SEC, CFTC, FEDERAL OR STATE LAW FOR TELEPHONE SOLICITATION.
MORRISSEY, OWEN	85-25	CFTC	11/06/86	4b 4d(2) 4f(2)	1.22 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$175,000; SUSP. AS FB 6 MO.; NOT TO APPLY FOR REGISTRATION AS FCM FOR 2 YEARS; NOT TO BE AN FCM PRINCIPAL OR OFFICER FOR 2 YEARS.
MORSE, JAMES	78-19	CFTC	08/12/82	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 120 MO.
MORSE, JAMES	78-4195EW	SD NY	09/20/78	4k(1) 4b 4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	
MORSE, JAMES	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
MORSE, JAMES	80-0689	SD NY	07/15/81	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BOOKS & RECORDS; ACCOUNTING ORDERED.
MORSE, THOMAS D.	82-0312	ED MO	06/11/84	4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; AFFIRMED ON APPEAL BY 8 TH CIR.
MORTON, KEITH B.	85-46	CFTC	02/21/86	4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
MOSES, DON R.	87-3-498	ED TN	01/17/90	4m(1) 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; TO PAY TOTAL OF \$20,000 INTO ACCOUNT FOR BENEFIT OF CUSTOMERS.
MOSES-SEAY COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
MOSES-SEAY TRADING COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
MOSKOWITZ, RICHARD ALLAN	SD-94-7	CFTC	09/20/95				REG. DENIED AS FB; APPEALED; RESPONDENT APPEAL TO COMMISSION – 10/06/95.
MOSKOWITZ, RICHARD ALLEN	SD-90-3	CFTC	02/05/93	8a(3)(D) 8a(3)(G) 8a(4)	3.31 3.60		REG. REVOKED AS FB.
MOSKY, ROBERT D.	91-19	CFTC	06/25/97	4b(A) 4b(D)			CEASE & DESIST ORDER.
MOSKY, ROBERT D.	SD-93-16	CFTC	11/08/93				WITHDRAW FT REGISTRATION APPLICATION AND ENSURE THAT NO ACTION STATUS IS TERMINATED.
MOSS, NEIL KENNETH	80-4801	CD CA	03/19/81	4 4b 4h 4m 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
MOSS, PHILIP	80-28	CFTC	03/27/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MOSS, PHILIP	80-31	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4b 4b(D) 4g	1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1-2 MO.; DISMISS APPEAL TO 2 ND CIRCUIT.
MOUNT, STEPHEN E.	80-36	CFTC	09/27/85	4d(2) 4f(1) 4f(2) 4g(1) 6(b)	1.10(d) 1.17(a) 1.18(a) 1.20(a) 1.23 1.31 1.32 1.35(a) 1.18(c) 1.10(f) 1.32		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
MOUNTAIN ENERGY COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
MOYER, FRANK	86-6778	SD FL	10/22/86	4c(c)		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING FLORIDA INVESTOR PROTECTION ACT; TO PAY \$5,000 TO RECEIVER.
MOYLE, ROBERT F.	85-45	CFTC	09/27/85	4k(1)	3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
MSP TRADING, INC.	90-14	CFTC	03/12/91	4g	1.31(a)(1) 1.35(a) 1.35(a-1)(4) 1.35(b) 1.35(c)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NEVER TO REGISTER WITH THE COMMISSION.
MUDGE, GARY	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
MUELLER, MARK HUGO	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$5,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR A ONE YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
MULLER, JOHN J.	77-22	CFTC	08/02/82	4b(A) 4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$7,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP.
MULLER, JOHN J.	77-390JE	SD FL	03/25/80	4c(b)	32.9	PERMANENT INJUNCTION	
MULLET, MICHAEL D.	90-192	D CO	12/02/91	4m(1) 4b(A) 4o 4b(B) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$405,961.86 MINUS ANY PAYMENT MADE TO THE STATE OF ARIZONA FOR RESTITUTION TO CUSTOMERS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; RECEIVER MAY BE APPOINTED.
MULLIGAN, SUSAN	89-10	CFTC	07/26/89	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; NEVER TO SEEK REGISTRATION OR ACT IN ANY CAPACITY OF ANY CLASSIFICATION OF REGISTRATION.
MULTI-NATIONAL HOLDING CORPORATION	82-2173	SD NY	09/13/82	4b(A) 4d(1) 4d(2) 4m 4n(1) 4n(2) 4n(4) 4o(1)	1.17 1.10c 1.10d 1.14 1.20 4.20(c) 4.21(a) 4.21(b) 4.21(c) 4.22 4.24	PERMANENT INJUNCTION	DISGORGEMENT.
MULTI-NATIONAL HOLDING CORPORATION	83-5	CFTC	03/30/84	4b(A) 4d(1) 4d(2) 4m	1.7 1.10c 1.10d 1.14		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(1) 4n(2) 4n(4) 4o(1)	1.20 4.20(c) 4.21 4.22 4.24		
MULTI-STATE ADVISORY CORPORATION	81-2953	D NJ	09/28/81	4b(A) 4m 4n(1) 4o(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
MULTI-STATE ADVISORY CORPORATION	82-4	CFTC	11/20/81	4b(A) 4m 4n(1) 4o(1)	1.10c 1.14 4.31(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA; NOT TO REAPPLY FOR REGISTRATION.
MULTIVEST OPTIONS, INC.	90-11	CFTC	05/04/90	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
MULTIVEST OPTIONS, INC.	90-6050	SD FL	05/09/90	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	RECEIVER APPOINTED.
MUNN, CAROLYN F.	97 C 7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN, STEVENS & MUNN JOINTLY & SEVERALLY OWE RESTITUTION OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
MUNSON, JOHN	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; REG. REVOKED AS AP & CTA.
MURLAS BROTHERS COMMODITIES, INC.	79-39	CFTC	06/26/79	4f(2) 4f(1)	1.179a) 1.10(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
MURLAS COMMODITIES, INC.	85-29	CFTC	09/01/95	4b(A)	166.3		CEASE & DESIST ORDER.
MURPHY, ARTHUR	80-9	CFTC	12/09/81	4b(c) 4d(2) 4f(2) 4g	1.17(a) 1.23 1.31 1.32 1.33(a)(1) 1.34 1.35(a) 1.46(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; SUSP. AS AP 1 MO. OR LESS; SUSP. AS CTA 1 MO. OR LESS; NOT TO BE AN FCM PRINCIPAL FOR 5 YEARS OR AN FCM OFFICER FOR 2 YEARS.
MURPHY, DONALD F.	88-1	CFTC	04/26/88	4c(b)	33.7(d)		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					33.10		AMNT.: \$7,500; SUSP. AS AP 4 MO.
MURPHY, DONALD J.	82-37	CFTC	09/25/85	4b 4c(a) 4g	1.35 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; APPEAL WITHDRAWN.
MURPHY, JAMES T.	82-22	CFTC	03/21/85	4b(A) 4o(1) 4m 4n(3)(A) 4n(4)	4.21 4.22(c) 4.21(g)(1) 4.22(a) 4.22(h) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$37,500; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS CTA.
MURPHY, JOSHUA	SD-91-3	CFTC	03/31/92				CONDITIONALLY REGISTERED AS FLOOR BROKER; MAY NOT ACT AS PRINCIPAL, PARTNER, OFFICER, DIRECTOR, OR BRANCH MANAGER; MAY NOT EXERCISE SUPERVISORY AUTHORITY; MAY NOT EXERCISE DISCRETIONARY TRADING AUTHORITY; EMPLOYER MUST EXECUTE "EMPLOYING REGISTRANT AGREEMENT;" CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
MURPHY, MICHAEL PATRICK	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b) 4g(1) 4i 6(b)	1.35(a-1) 166.2 33.10 155.3(b)(2) 1.38(a) 1.31 1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00 17.01(d) 18.00		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
MURPHY, ROBERT	84-243PHX	D AZ	04/22/87	19	31.1 31.2	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; COSTS AWARDED TO PAY TO ARIZONA ATTORNEY GENERAL \$5,000 PENALTY AND \$5,000 COSTS; ALSO ENJOINED FROM

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							VIOLATING THE ARIZONA CONSUMER FRAUD ACT.
MURPHY, TIMOTHY J.	SD-96-10	CFTC	12/02/96	8a(3)(M)			CEASE & DESIST ORDER; CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS.
MURPHY, TIMOTHY R.	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b) 4g(1) 4i 6(b)	1.35(a-1) 166.2 33.10 155.3 1.38(a) 1.31 1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00 17.01(d) 18.00		CEASE & DESIST ORDER; PEN. AMNT.: \$275,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP & CTA; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
MURPHY, WILLIAM JOSEPH III	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b) 4g(1) 4i 6(b)	1.35(a-1) 166.2 33.10 155.3 1.38(a) 1.31 1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00 17.01(d) 18.00		CEASE & DESIST ORDER; PEN. AMNT.: \$275,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP & CTA; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
MYATT, MICHAEL	CV-97-838MA	D OR	07/22/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS LIABLE FOR RESTITUTION IN THE AMOUNT OF \$3,931,524.69; DEFENDANTS ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION OR LICENSING UNDER THE CEA OR OREGON SECURITIES LAW IS REQUIRED; ALSO VIOLATED OREGON STATAUTES.
MYSKOWSKI, ANTHONY	SD-99-2	CFTC	01/28/99	8a(3)(M)			FB REGISTRATION RESTRICTED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR TWO YEARS AS FOLLOWS: MYSKOWSKI SHALL NOT ACT AS AN FB OR FT UNLESS HIS ACTIVITIES ARE SUBJECT TO A SUPPLEMENTAL SPONSOR CERTIFICATION STATEMENT AND SUBMITTED TO SPEAR LEEDS & KELLOGG; HE SHALL NOT DIRECTLY OR INDIRECTLY TRADE ON BEHALF OF CUSTOMERS; SHALL NOT DIRECTLY OR INDIRECTLY ACT IN A SUPERVISORY CAPACITY; MYSKOWSKI'S REGISTRATION SHALL BE AUTOMATICALLY SUSPENDED IF HE IS CHARGED WITH A DISCIPLINARY OFFENSE AS DEFINED IN REG. 1.63(a)(6).
MYSKOWSKI, JOHN J.	90-12	CFTC	05/23/90	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NOT TO APPEAR ON TRADING FLOOR ON ANY CONTRACT MARKET DURING TRADING HOURS; TO MAKE FULL RESTITUTION AS DETERMINED IN RELATED PROCEEDINGS.
N.S. RAMCHANDRAN d/b/a RAM CHANDRAN	95-1598	D. NJ	2/29/00	4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	FINAL JUDGEMENT	
NACHWALTER FINANCIAL DEVELOPMENT CORP.	93-71445	ED MI	03/25/94	4b(a)(i) 4d(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM SEEKING OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
NACHWALTER, ELLIOTT H.	93-71445	ED MI	03/25/94	4b(a)(l) 4d(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM SEEKING OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
NAGY, ROBERT A.	84-28	CFT	02/08/85	4m			CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b 13(a) 4o(1)			AMNT.: \$10,000 JOINTLY OWED; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP.
NAHAS, NAJI ROBERT	85-12	CFTC	09/05/86	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRAD. PRIV. SUSP. 60 MO.; TO UNDERTAKE PRODUCTION OF DOCUMENTS.
NAJIB ASSAF, INC.	85-18	CFTC	08/01/86	4l	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; PROHIBITED FROM TRADING EXCEPT FOR HEDGING FOR 12 MONTHS.
NANASCA, ROLANDO	97-1492	SD FL					
NANAY, MICHAEL	88-14	CFTC	09/20/88	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS AP.
NATIONAL BULLION & COIN, INC. d/b/a NATIONAL BULLION & COIN SERVICES, INC.	00-6885	S.D. FL.	9/11/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JUDGEMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT IS ENTERED JOINTLY & SEVERALLY. CFTC SHALL PRESENT PROPOSED ORDER OF JUDGEMENT WITHIN 90 DAYS. PERMANENTLY RESTRAINED & ENJOINED FROM: 1) ACTING IN ANY CAPACITY, INCLUDING IN AN EXEMPT CAPACITY, AS A FCM, CPO, CTA, IB, FB, FT OR AP; 2) SEEKING APPLICATION FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY. GERALD B. WALD SHALL CONTINUE AS PERMANENT RECEIVER.
NATIONAL CENTURY FINANCIAL CORPORATION	83-48	CFTC	03/14/84	4b 4n 4o	4.20 4.21 4.22 4.23		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 90 MO.; REG. REVOKED AS CPO & CTA; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS; PEN. AMNT.: \$20,000 LESS PAYMENTS TO CUSTOMERS.
NATIONAL CENTURY FINANCIAL CORPORATION	84-4181MRP	CD CA	06/06/84	4b 4n 4o	4.21 4.22 4.20 4.23	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
NATIONAL COAL EXCHANGE,	81-2250-W	WD TN	02/13/84	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; RECEIVER

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INC.				4 4b(A) 4b(C)			APPOINTED.
NATIONAL COMMODITY EXCHANGE OF NO. AMERICA	80-36	CFTC	10/28/81	8b 4b(A) 4b(C) 4f(1) 4g(1)	1.18(a) 1..35(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
NATIONAL MONETARY CORPORATION	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	RECEIVER APPOINTED.
NATIONAL MONETARY FUND, INC.	82-2062	SD FL	04/10/85	4o(1)	4.31(a) 166.3 4.1(a)(2)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
NATIONAL MONETARY FUND, INC.	85-17	CFTC	03/29/85	4o(1)	4.1(a) 4.31(a) 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO; NOT TO REAPPLY FOR REGISTRATION.
NATIONAL TRADING GROUP, INC.	88-05840HLH	CD CA	09/30/88	4(a) 4b(A)		PERMANENT INJUNCTION	
NAUD, ODILE	80-27	CFTC	03/18/83	4b 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$500; TRAD. PRIV. SUSP. 36 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
NAULIN, DAVID O.	91-4586	CD CA	12/17/92	4d 4b(2)(A) 4b(2)(B) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DISGORGE \$1,427,686.41; DISTRIBUTE FUNDS IN COURT'S REGISTRY TO CUSTOMERS.
NAULIN, DAVID O.	92-6	CFTC	11/22/91	4o(1) 4d 4b(2)(A) 4b(2)(B)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; MAY NEVER SEEK TO REGISTER WITH THE COMMISSION IN ANY CAPACITY.
NAUMAN, LEONARD G. d/b/a NAUMAN ADVISORY SERVICES	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
NAYLOR, JOHN C.	80-27	CFTC	01/09/84	4b 4d 4h 4k			CEASE & DESIST ORDER; PEN. AMNT. \$15,000; TRAD. PRIV. SUSP. 120 MO. NOT TO APPLY FOR REGISTRATION FOR 10

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							YEARS.
NE W YORK & FOREIGN SECURITIES, CORPORATION	85-43	CFTC	05/06/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
NELSON GHUN AND ASSOCIATES, INCORPORATED	81-13	CFTC	02/22/82	4b(A) 4o(1) 4n(1)	4.21(a) 4.21(b) 4.31(a) 4.31(b) 1.10(c) 1.10(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
NELSON, GEORGE PHILIP	81-13	CFTC	03/02/84	4b(A) 4n(1) 4o(1)	1.10c 1.10d 4.21(a) 4.21(b) 4.31(a) 4.31(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.
NELSON, JOHN JOSEPH	84-44	CFTC	12/17/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$8,000.
NESBIT, H. PAUL	81-9	CFTC	11/06/84				REG. DENIED AS AP.
NESBIT, H. PAUL	81-17	CFTC	11/06/84				REG. DENIED AS CTA.
NESBIT, H. PAUL	81-21	CFTC	08/05/85	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRADING PRIVILEGES REVOKED.
NEUBERGER SECURITIES CORPORATION	78-0317	SD NY	01/11/78	4c(b)	32.9	PERMANENT INJUNCTION	
NEUBERGER, RICHARD	78-0317	SD NY	01/11/78	4c(b)	32.9	PERMANENT INJUNCTION	
NEW FOREST CAPITAL MANAGEMENT INC.	96-C-0076	L	10/03/96	4b(a)(I) 4b(a)(ii) 9(a)(1) 4o(1)	4.30	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ENJOINED FROM SOLICITING; PROHIBITED FROM ANY ACTIVITY RELATED TO COMMODITY TRADING; PROHIBITED FROM SEEKING REGISTRATION.
NEW JERSEY PRECIOUS METALS TRADING CORP.	79-3371	SD NY	10/22/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
NEW MILLENIUM PROMOTIONS	99-7	CFTC	07/29/99	4d(1)	166.3		CEASE & DESIST ORDER; CIVIL MONETARY PENALTY IS NOT IMPOSED BASED ON SWORN FINANCIAL STATEMENT; SHALL NEVER APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
NEW YORK CURRENCY EXCHANGE CORPORATION	98CIV5588	SD NY	09/04/98 05/11/99	4(a) 4b(a)(I)		PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 4d(2) 9(a)(1) 4k(1)			SOLICITATION; ACCOUNTING ORDERED; DEFENDANTS JOINTLY & SEVERALLY PAY CIVIL MONETARY PENALTY OF \$8,204,458.00 AND RESTITUTION OF \$2,701,486.00 PLUS INTEREST; ALL CONTRACTS WITH CUSTOMERS ARE RESCINDED.
NEW YORK CURRENCY RESEARCH CORPORATION	98-3	CFTC	09/22/99				COMPLAINT DISMISSED
NEW YORK CURRENCY RESEARCH CORPORATION	98CIV5588	SD NY	08/07/98 05/11/99			EX-PARTE ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DEFENDANTS JOINTLY & SEVERALLY PAY CIVIL MONETARY PENALTY OF \$8,204,458.00 AND RESTITUTION OF \$2,701,486.00 PLUS INTEREST; ALL CONTRACTS WITH CUSTOMERS ARE RESCINDED.
NEW YORK FUTURES TRADERS INC.	86-0770	ED NY	04/01/87	4b(A) 4d(1) 4d(2) 4m(1) 4o(1)	1.20 3.4 4.20(c) 4.21(a)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM ACTING IN CAPACITY REQUIRING REGISTRATION; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN CERTAIN COMMODITY FUTURES BUSINESSES.
NEW YORK MERCANTILE EXCHANGE	77-14	CFTC	10/19/78	5(f) 5a(8)	1.51 1.53		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
NEW YORK MERCANTILE EXCHANGE	81-23	CFTC	07/20/81	5a(8) 5(f)	1.51 1.53 8.05 8.06 8.07		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
NEWMAN, C. DAVID	85-1052F	ND TX	11/03/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
NEWMAN, MITCHELL R.	88-19	CFTC	05/20/93	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; APPEALED; ID SUMMARILY AFFIRMED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
NEWPORT INVESTMENT MANAGEMENT CORPORATION	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NEWTON, RUTH	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.
NEWTON, WILLIAM R.	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.
NG, JIMSON B.T.	93-0067	CD CA	01/07/93	4(a)		RESTRAINING ORDER	
NICE, NICK VAN	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
NICHOLSON, F. WILLIAM	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.
NICKOLAOU, NICHOLAS J.	99-C-6425	N.D. IL	12/27/99	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; REMOVE ALL MISLEADING INFORMATION FROM WEBSITE.
NIOLETTI, DAVID	SD-95-1	CFTC	12/26/95				CONDITIONAL FT REGISTRATION FOR 2 YEARS.
NIKKHAH, SHAHROKH	95-13	CFTC	9/26/00			COMMISSION ORDER	COMMISSION REMANDED CASE TO ALJ FOR SUPPLEMENTAL PROCEEDINGS.
NIMC INCORPORATED	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NIMC PRECIOUS METALS, INC.	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NIMC STRATEGIC METALS INTERNATIONAL, INC.	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NIX, JAMES T.	88-H-3543	SD TX	05/14/90	4b(A) 4d(1) 4d(2) 9(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS.
NIXON, BRUCE A.	89-5	CFTC	10/19/90				APPEALED.
NOBLE METALS INTERNATIONAL	92-041-LDG	D NV	08/03/93	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; JOHN H. MOWBRAY IS THE PERMANENT EQUITY RECEIVER.
NOBLE WEALTH DATA INFORMATION SERVICES, INC.	CIV-PJM-98-3316	D. MD	10/27/99	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE ASSETS; STOP SOLICITATION; RESTITUTION AND DISGORGEMENT OF \$5,264,251 PLUS PRE AND POST JUDGEMENT INTEREST; CIVIL MONETARY PENALTY OF \$15,792,753 PLUS PRE AND POST JUDGEMENT INTEREST; SHALL NOT SEEK APPLICATION FOR REGISTRATION.
NOK, SIU-WAH	90-3034	ND CA	09/10/91	4(a) 13(a) 4b(A) 4b(B)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION.
NOPKINE CO., INC.	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
NORCROSS MARKETING, INC.	81-2250-W	WD TN	02/13/84	4o(1) 4 4b(A) 4b(C)		PERMANENT INJUNCTION	
NORDLICHT, JULES	79-31	CFTC	01/07/81	4c(a) 9(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 3 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 21 MONTHS.
NORTH AMERICAN ASSET MANAGEMENT, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
NORTH AMERICAN PETROLEUM CORP.	80-0689	SD NY	03/02/81	4 4h		PERMANENT INJUNCTION	DISGORGMENT; FREEZE OF ASSETS; PROTECT & ACCESS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b			BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
NORTHEAST INVESTMENT SERVICES, INC.	82-0305	D MA	05/21/85	4o(1) 4b(A)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
NORTHERN FINANCIAL CORPORATION	77-2	CFTC	02/29/80	4f(2) 4g	1.17 1.35		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
NORTHERN, LOVELL BRAXTON III	93-3	CFTC	07/19/94	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 84 MO.; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION; NEVER ENGAGE IN ANY ACTIVITY REQUIRING SUCH REGISTRATION; NEVER TO ACT AS AN AGENT OR OFFICER OF ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; NOT TO ACT IN ANY CAPACITY WHICH CAUSES HIM TO ACCEPT OR HOLD CUSTOMER FUNDS.
NORTHWEST GOLD COINS, INC.	85-6066	SD FL	01/30/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
NORTHWEST TRADING GROUP	87-934-RE	D OR	09/01/87	4(a)		PERMANENT INJUNCTION	
NORTON, EDWARD K. JR.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
NORWELL TRADE WINDS, LTD.	82-1	CFTC	11/04/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	1.7 4.21(a) 4.21(b) 4.22(a) 4.23(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION.
NORWELL TRADE WINS, LTD.	81-1749MA	D MA	07/10/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	4.22(a) 4.23(a) 1.7 4.21(a) 4.21(b)	PERMANENT INJUNCTION	RECEIVER APPOINTED; ACCOUNTING ORDERED.
NOTCH S.A. PANAMA	86-29	CFTC	05/19/87	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 4 MO.
NOVAK AND NOVAK TRADING COMPANY, INC.	80-32	CFTC	06/29/83	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV.L SUSP. 1 MO. OR LESS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
NOVAK, JAY	80-32	CFTC	06/29/83	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV.L SUSP. 1 MO. OR LESS.
NOWAK, JAMES D.	91-1	CFTC	12/17/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; NEVER TO APPEAR ON TRADING FLOOR DURING HOURS OF TRADING OR LEASE, PURCHASE, OR OTHERWISE USE ANY EXCHANGE MEMBERSHIP; LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS; MAKE RESTITUTION TO CUSTOMERS.
NUGENT, BARTHOLOMEW J.	90-23	CFTC	02/28/94	4f	3.31		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
O'HERRON ASSET MANAGEMENT	1:00 CV 913	W.D. MI	12/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)	4.20(c) 4.21	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; SHOW CAUSE HEARING SCHEDULED FOR 1/29/01.
O'HERRON, JOHN	1:00 CV 913	W.D. MI	12/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)	4.20(c) 4.21	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; SHOW CAUSE HEARING SCHEDULED FOR 1/29/01.
OAKWOOD ASSET MANAGEMENT, INC.	95-16-SD	CFTC	06/06/95	8a(2)(H) 8a(2)(A) 8a(2)(E)			REG. REVOKED AS CTA & CPO.
OASIS PUBLISHING CORP.	00-09	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
O'BRIEN, FRANCIS J.	84-8	CFTC	02/05/87	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB ; \$3,000 CIVIL PENALTY TENTATIVELY SET.
O'BRIEN, ROBERT J. JR.	82-44	CFTC	01/23/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
O'BRIEN, THOMAS F.	84-29	CFTC	10/05/84	4b(A) 4o(1) 4o(2)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
OCONE, PHILIP	SD-94-14	CFTC	09/02/94				CONDITIONALLY REGISTERED AS FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING 9/2/94.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
O'CONE, PHILIP M.	83-59	CFTC	01/17/84				REG. REVOKED AS FB.
O'CONE, PHILIP M.	84-7	CFTC	06/20/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.
O'CONNELL, JAMES L.	87-4	CFTC	12/09/88	4b 4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; NOT TO SEEK REGISTRATION EXCEPT AS AP FOR 5 YEARS.
O'CONNELL, THOMAS B.	2:98CV104	D VT	04/17/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1) 9(A)(1)	4.20 4.21 4.22 4.24 4.25	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; PERMANENT TRADING BAN.
O'CONNOR FUTURES INC.	88-6	CFTC	02/13/90	4c(a)(B)	1.38(a)		PEN. AMNT.: \$44,000.
O'CONNOR, BRIAN T.	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT
O'CONNOR, EDMUND J.	76-8	CFTC	09/26/75	4a	150.1		CEASE & DESIST ORDER.
OGOREK, PEGGY ANN	89-5	CFTC	10/19/90				APPEALED.
O'GRADY, STEPHEN G.	88-26	CFTC	09/20/88	4b(A) 4k(2) 4n(3) 4n(4) 4o(1)	4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION AS CPO OR FCM FOR 10 YEARS; NOT TO APPLY FOR REGISTRATION AS A CTA OR AP OF A CTA, CPO OR FCM FOR 3 YEARS; NOT TO APPLY FOR REGISTRATION AS A FB OR IB, AS AN AP OF A FB OR AN AP OF AN IB FOR 6 MONTHS.
OLEXSAK, STEPHEN J.	SD-88-5	CFTC	02/21/89				REG. DENIED AS FB.
OLEXSAK, STEPHEN J.	SD-95-21	CFTC	07/25/95				FT COND 2 YRS.
OLIFFE, JAMES	78-1069	SD FL	04/27/78	4c(b) 4o(1)	32.9 32.5(a) 32.5(c) 32.8(a)	PERMANENT INJUNCTION	
OLIVERIO, CARMINE	90-1	CFTC	03/11/94	4g	1.31(a)(1) 1.35(a) 1.35(a-1)(2) 1.35(a-1)(4)		CEASE & DESIST ORDER; SUSP. AS FB 1 MO. OR LESS.
O'MALLEY, JOSEPH P.	93-11	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; NOT TO ACT AS FT OR TRADE FOR HIMSELF FOR 6 MONTHS.
O'MALLEY, STAR LYNN	84-41	CFTC	05/22/85	4b(A) 4b(B) 4b(C)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
O'NEILL, TIMOTHY J.	SD-93-3	CFTC	02/09/93	8a(3)(D)			RESTRICTED REGISTRATION

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
OPEC AMERICAN PETROLEUM	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
ORLANDO, JOHN J.	93-2	CFTC	05/19/99				RESPONDENT FILES NOTICE OF APPEAL OF ALJ PAINTER'S 5/5/99 INITIAL DECISION.
OSADCHY, ANATOLY	99-2	CFTC	10/29/98		14.8(C)		COMMISSION PERMANENTLY DENIES OSADCHY THE PRIVILEGE OF APPEARING OR PRACTICING BEFORE IT; OSADCHY IS NOT TO APPLY TO THE COMMISSION FOR REINSTATEMENT.
O'SHAUGHNESSEY, DANIEL M.	96-10421	I	11/05/97 12/18/97	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(C) 4.41(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; COSTS AWARDED; TRADING PROHIBITION; PAY RESTITUTION; O'SHAUGHNESSEY SHALL PAY RESTITUTION IN THE PRINCIPAL AMOUNT OF \$435,886.53 TOGETHER WITH PRE-JUDGMENT INTEREST OF \$37,617.61.
OSLER, DARRYL M.	00-05	CFTC	2/18/00	4c(b)	32.9 33.10 166.3	COMPLAINT FILED	
OSTER COMMUNICATIONS INC.	96-6	CFTC	06/20/96	4b(a)(i) 4m(1) 4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)		OSTER & FSIS WILL NOT USE INTERSTATE COMMERCE WHILE ENGAGING IN THE BUSINESS OF ADVISING OTHERS FOR PROFIT, AS TO THE ADVISABILITY OF TRADING IN COMMODITY FUTURES OR OPTION CONTRACTS, WITHOUT BEING REGISTERED AS A CTA.
OSTER COMUNICATIONS INC.	95-6221	SD FL	06/19/96	4m(1) 4b(a)(i) 4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGE \$670,000.00 TO CUSTOMERS; COOPERATE WITH COMMISSION; ALSO ENJOINED FROM VIOLATING PROVISIONS OF FLORIDA LAW.
OSTROV, MARK	78-0317	SD NY	01/11/78	4c(b)	32.9	PERMANENT INJUNCTION	
OTTO, RICHARD D.	97-4443	CAL	02/10/98	4b(a)(2)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADE FOR LIQUIDATION ONLY; PAY REDRESS AGENT A LUMP

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUM OF \$9,244.77 AND AN ADDITIONAL 25% OF HIS TAXABLE INCOME DURING THE YEARS 1997 THROUGH 2001.
OUELLET, JOEL JEFFREY	79-1436	ND IL	12/07/81	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
OXBORROW, KENNETH D.	84-811	ED WA	12/04/84	4m 4o(1)		PERMANENT INJUNCTION	
P&M PRICE DATA, INC.	90-00038	ND IN	08/17/90	4b(A) 4b(B) 4k(3) 4d(1) 4d(2)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION AGAIN; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
P.I.E., INC.	86-4792WDK	CD CA	01/08/87	4b(A) 4b(C)		PERMANENT INJUNCTION	APPEALED; AFFIRMED ON APPEAL TO 9TH CIR. 8/3/88.
PACE, RAY	92-3	CFTC	08/13/93	4b(A) 4b(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 18 MO.; ID SUMMARILY AFFIRMED.
PACE, THOMAS F.	89-27	CFTC	01/16/92	4a(5) 4i 6(b)	18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.; MUST LIQUIDATE ALL POSITIONS PRIOR TO COMMENCEMENT OF TRADING BAN.
PACIFIC BULLION, INC.	92-259	ED NY	03/10/93	4(a) 4b(A) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NOTICE OF COMPLAINT TO ALL OFFICERS, EMPLOYEES & AGENTS.
PACIFIC COMMODITIES EXCHANGE, INC.	76-17	CFTC	05/04/77				CONTRACT MARKET DESIGNATION REVOKED.
PACIFIC GOLD COINS, INC.	84-6717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
PACIFIC TRADING COMPANY	75-1	CFTC	02/09/76	4g(1) 4i	17.00		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FCM 1 MO. OR LESS; SUSTAINED ON APPEAL TO 7TH CIR.
PAINE WEBBER INCORPORATED	88-32	CFTC	09/30/88	4b(A) 4b(B) 4c(b) 4g(1)	1.33(a)(2)(i) 1.33(b)(3) 1.35(a-1)(1) 33.10(a) 33.10(b) 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000.
PAINE WEBBER, INC.	93-3	CFTC	11/24/92	4g	1.35(a-1)(1) 1.35(a-1)(2)	COMPLAINT FILED	PEN. AMNT.: \$150,000; COOPERATING WITH

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.31(a) 1.35(a) 166.3		COMMISSION.
PAINE WEBBER, JACKSON & CURTIS	86-10	CFTC	02/24/86	4g	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$22,500; TO UNDERTAKE IMPROVEMENTS IN REPORTING OF EFPs.
PAINE, BRUCE MICHAEL	97-4443	CAL	02/10/98	4b(a)(2)		PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
PALERMO FINANCIAL SYNDICATE	85-9	CFTC	04/24/85	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; APPEAL WITHDRAWN 8/21/85.
PALEY, THOMAS	96-CV-2640	E.D. PA.	10/20/99			FINAL ORDER OF DISTRIBUTION, SUPPLEMENTING PERMANENT INJUNCTION	JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$3,000,000. ALL BUT \$77,618 IS WAIVED BASED ON PALEY & JUECHTER'S SWORN FINANCIAL STATEMENTS. PAYMENT BY PALEY, JUECHTER & AYM IN ACCORDANCE W/ RESTITUTION ORDER ENTERED IN SEC V. AYM SATISFIES DUTY TO PAY \$77,618 TO CFTC.
PALIN, KENNETH A.	84-0621-R	ND TX	11/12/85	4d(1) 4d(2) 4k 4(a) 4b(A) 4b(D) 4o(1) 4n(3)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.
PALMER, STEPHEN D.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.6 32.7 32.1 32.3(b)	PERMANENT INJUNCTION	
PAN EASTERN PETROLEUM EXCHANGE	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PANAMCO PETROLEUM ENTERPRISES	80-0689	SD NY	12/10/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PAPPAS, ROBERT G.	91-7	CFTC	05/09/95	4b(a)(i)	1.38(a)		CEASE & DESIST ORDER; TRAD.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)			PRIV. SUSP. 15 MO.; LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION - EXCEPT FT, FOR 5 YEARS, NOT TO APPLY FOR FT REGISTRATION FOR 15 MONTHS - ANY SUBSEQUENT FT REGISTRATION TO BE CONDITIONAL; COOPERATE WITH DIVISION; NOT TO APPEAR ON TRADING FLOOR FOR 15 MONTHS.
PARAGON FUTURES ASSOCIATION	88-18	CFTC	06/07/88	4b(A) 4k(1)	1.31(a) 166.2 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY.
PARDES, ABRAHAM D.	79-2	CFTC	12/27/78				REG. DENIED AS AP.
PARDES, RONNIE	78-1335	SD FL	04/20/79	4c(b)	1.31 32.6 32.7	PERMANENT INJUNCTION	
PARDES, RONNIE	79-37	CFTC	02/10/84	4c(b)	1.31 32.6 32.7		CEASE & DESIST ORDER.
PARIS SECURITIES CORPORATION	87-11	CFTC	07/28/87	4b(A) 4d(2) 4f(2) 4g(1) 4k(1)	1.17(a) 1.20(a) 1.20(c) 1.32 1.35(a-1) 17.00(a)(1) 17.01(b) 17.01(c) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$175,000; SUSP. AS FCM 3 MO.
PARISI, CAESAR	81-1189	D NJ	02/18/82	4n(1) 4o(1) 4b(A) 4b(C)	1.14 4.31(a) 1.10(c)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
PARITY, INC.	84-2055-ER	CD CA	08/28/86	19(b) 19(c) 4(a) 4b(a) 4b(c) 4o(1) 4o(2)	31.1 31.2 31.03	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING THE CALIFORNIA BUSINESS AND PROFESSIONS CODE.
PARK, JOHN KI	00-24	CFTC	6/29/00	4b(a)(i) 4b(a)(iii)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$35,000;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			TRADING PRIVILEGES & AP REGISTRATION EACH SUSPENDED FOR 6 MONTHS; RESTITUTION OF \$35,000 PLUS PRE-JUDGEMENT INTEREST OF \$6,200; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL NOT ACT IN A SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED W/ COMMISSION FOR A PERIOD OF 5 YEARS.
PARK, JONG KYU	92-259	ED NY	12/09/92	4a 4b(A) 4d(1)	3.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
PARUCH, JAMES	85-25	CFTC	02/10/92	4a(5) 4g	1.35		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB.
PARZ, DANIEL M.	90-13	CFTC	05/23/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS TO MAKE FULL RESTITUTION AS DETERMINED IN RELATED PROCEEDINGS.
PASHBY, TERRY	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
PASHBY, TERRY	76-2095R	CD CA	07/30/76	4b 4k		PERMANENT INJUNCTION	
PATTEN, HARRY O.	89-16	CFTC	08/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB AT EXPIRATION OF TRADING SUSPENSION; NOT TO TRADE FOR OTHERS AND NOT TO TRADE FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON TRADING FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
PATTERA, SAMUEL	77-278EW	SD NY	05/19/78	4c(b)	30.01	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k 4o(1)	32.3 32.8		
PATTERA, SAMUEL	79-1	CFTC	09/27/79				PEN. AMNT.: \$1,500; TO WITHDRAW AP REGISTRATION APPLICATION.
PAUL JUDD INTERNATIONAL CORP.	00-13	CFTC	5/1/00	4c(b) 4o(1)	4.41(a) 33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENT; SHALL COMPLY W/ UNDERTAKINGS.
PAUL, HOWARD	79-27	CFTC	03/10/81	4b(D) 4g	1.35 1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; ONE MONTH TRADING SUSPENSION HELD IN ABEYANCE.
PAUL, HOWARD D.	82-7	CFTC	09/29/82	6(b)			CEASE & DESIST ORDER; SUSP. AS FB 3 MO.; SUSP. AS AP 3 MO.
PAXIA, KAREN	80-4801	CD CA	04/28/81	4b 4 4h 4m 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
PEABODY TRADING COMPANY OF BOSTON	81-15	CFTC	04/22/83	4n(1) 4o(1) 4b(A) 4n(3)	1.10(c) 1.14(a) 4.21(a) 4.24 1.31 4.23(a) 1.10(d) 4.21(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
PEARL, MARTIN L.	78-2	CFTC	03/17/80	4c(b)	32.3		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
PEARSON, LAWRENCE F.	83-63	CFTC	12/30/83				REG. REVOKED AS FB.
PEARSON, LAWRENCE F.	84-6	CFTC	04/27/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 3 MO.
PEARSON, LAWRENCE F.	SD-95-11	CFTC	03/08/95	8a(3)(D) 8a(2)(A) 8a(3)(A) 8a(3)(M)			FB CONDITIONS TO REMAIN FOR ONE YEAR.
PEDERSEN, EARL A.	SD-99-5	CFTC	04/16/99				FB REGISTRATION RESTRICTED.
PEEBLES, CHARLES CARROLL	85-1229	SD OH	08/02/85	4(a)		PERMANENT INJUNCTION	PROHIBITED FROM SELLING SECURITIES EXCEPT IN FULL COMPLIANCE WITH OHIO SECURITIES ACT.
PEIKES, MEYER J.	85-6451	SD FL	09/20/85	4m 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ORDERED.
PELOSO, PATRICK J.	77-1	CFTC	05/26/78	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
PELTON STREET PUBLISHING, INC.	99-CV-1184	D. MINN.	2/8/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4o	33.10 4.33(a)(7) 4.41(a)	PERMANENT INJUNCTION	NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS JOINTLY & SEVERALLY OWE RESTITUTION OF \$120,000 AND CIVIL MONETARY PENALTY OF \$65,000. SHALL COMPLY W/ UNDERTAKINGS.
PELTON STREET PUBLISHING, INC.	SD-00-06	CFTC	7/24/00			COMMISSION ORDER	CTA REGISTRATION REVOKED.
PENCO PETROLEUM INC.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PENDERGRAFT, MARVIN C.	96-2185	D AZ	01/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 4d(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION IN THE AMOUNT OF \$602,088.05; ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT ("ASA"); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER THE ACT OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT.
PENSION AMERICA, INC.	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
PENTECOSTE, JOHN C.	87-4	CFTC	12/09/88	4b			CEASE & DESIST ORDER; NEVER TO SEEK REGISTRATION; NEVER TO BE OFFICER, SHAREHOLDER, EMPLOYEE OR AGENT OF A REGISTRANT.
PEPE, MARIA	81-1189	D NJ	07/20/81	4n(1)	4.31(a) 1.10(c)	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PEPE, THOMAS	81-1189	D NJ	07/20/81	4n(1)	1.14 4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
PEPE, THOMAS SR.	80-0689	SD NY	12/09/80	4 4b		PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
PEREGRINE FINANCIAL GROUP, INC.	00-32	CFTC	9/7/00	4f(b)	1.10(b)(1) 1.12(a) 1.12(b) 1.17(a) 1.18(a) 1.18(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$90,000; SHALL COOPERATE FULLY & EXPEDITIOUSLY W/ THE COMMISSION IN THE COMMISSION'S ASSESSMENT OF WHETHER PEREGRINE IS CARRYING OUT ALL ASPECTS OF ITS UNDERTAKINGS; AGREES WITHIN 30 DAYS OF ORDER TO: 1) IMPLEMENT OUTLINED INITIATIVES & CHANGES TO ITS ACCOUNTING PRACTICES & REGULATORY FINANCIAL REPORTING; 2) FOR A PERIOD OF 2 YEARS THEREAFTER, MAINTAIN ITS ADJUSTED NET CAPITAL AT A LEVEL THAT IS AT LEAST \$800,000 ABOVE THEIR "EARLY WARNING LEVEL"; AND 3) SHALL RETAIN A CPA ACCEPTABLE TO T&M.
PERK, GEORGE J.	95-15	CFTC	08/20/97				TRADING PRIVILEGES REVOKED.
PERLMUTTER, ALFRED	79-33	CFTC	12/03/79	4c(a) 9(b)	2		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
PERMANN, CHRISTOPHER L.	85-1052F	ND TX	11/03/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
PEROTTI, DAVID BRIAN	89-839	SD FL	04/26/90	4b 4c(b) 9(a) 4d(1)	33.10	PERMANENT INJUNCTION	DISGORGEMENT
PERSTEN, GEOFFREY	80-0421	SD NY	06/21/83	4b(A) 4n(3)(A) 4n(4)	4.20(c) 4.21(a) 4.22(a)	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PESEK, MICHAEL J.	87-13	CFTC	01/26/99	4o(1) 4c(a)(B)	4.23 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$400; TRADING PRIVILEGES REVOKED.
PESKIN, MICHAEL R.	89-1	CFTC	02/09/93	4b(A) 4g(1)	1.35(a-1)(2)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRADING PRIVILEGES REVOKED; REG. REVOKED ASCTA & AP; VACATED RESTRICTION ON RIGHT TO APPLY FOR REGISTRATION.
PESOLI, MICHAEL ANTHONY	SD-94-4	CFTC	09/27/95				CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
PETER J. TAGGARES COMPANY, INC.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV. SUSP. 48 MO.
PETERS, HARLEY	79-0752	CD CA	07/29/80	4d 4b	1.7	PERMANENT INJUNCTION	
PETERS, HARLEY	80-27	CFTC	01/18/83	4b 4d 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION FOR 1 YEAR.
PETERSON, LARRY D.	99-6	CFTC	3/9/00	4(a) 4c(b) 4d(1)	1.33(a) 1.55 32.2 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL NOT SEEK REGISTRATION AS AP FOR A PERIOD OF SIX MONTHS FROM DATE OF ORDER UNLESS HE UNDERTAKES TO HAVE REGISTRATION CONDITIONED.
PETKOFF, STEPHEN	84-10	CFTC	07/02/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
PETRON COMPANY	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PETROPLEX COMMODITIES CORP	87-7	CFTC	05/07/87	4b(A) 4b(B) 4b(C) 4k(1)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED.
PETROW, GERALD STEVEN	SD-94-10	CFTC	04/18/94				FB CONDITIONAL

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
PHIBRO CORPORATION	89-11	CFTC	07/31/89	4 4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4d(1) 4h 4h(2) 4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.
PHILIPP BROTHERS COMMODITIES CORPORATION	89-11	CFTC	07/31/89	4a 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4d(2) 4f(1) 4g(1) 4h 4i	1.20 1.35(a-1) 1.38 3.10(a) 17.00 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.
PHILIPP BROTHERS TRADING CORPORATION	89-22	CFTC	09/21/89	4i	17.00(a)		CEASE & DESIST ORDERP; PEN. AMNT.: \$35,000.
PHILIPP BROTHERS, INC.	89-11	CFTC	07/31/89	4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4d(1) 4d(2) 4g(1) 4h(2) 4h 4k(1)	1.20 1.35(a-1) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.
PHILLIPS, ADAM CRAIG	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	DISGORGEMENT.
PHILLIPS, JAMES H.	83-61	CFTC	02/23/84				REG. REVOKED AS FB.
PHILLIPS, JAMES H.	84-13	CFTC	05/14/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.
PHILLIPS, JAMES H.	SD-94-13	CFTC	09/02/94	8a(2)(A) 8a(3)(A) 8a(3)(D)			CONDITIONALLY REGISTERD AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				8a(3)(M)			9/2/94.
PHILLIPS, WILLIAM F.	87-7	CFTC	05/07/87	4(b)A 4b(B) 4b(C) 4k(1)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED.
PHOENIX TRADING INC.	95-6221	SD FL	11/27/96	4m(1) 4o(1)(A) 4o(1)(B) 4b(a)(i)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ENJOINED FROM SEEKING REGISTRATION; ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITY TRADING ADVICE; CONTROLLING ANY COMMODITY TRADING; BEING EMPLOYED BY ANY BUSINESS THAT PROVIDES COMMODITY FUTURES OR OPTIONS PROGRAMS; ALSO ENJOINED FROM VIOLATING FLA. DECEPTIVE & UNFAIR PRACTICES ACT AND FROM OPERATING A BUSINESS IN FLA.
PIASIO, ALFRED R.	97-9	CFTC	9/29/00	4c(a)(A)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$40,000; AP REGISTRATION SUSPENDED FOR 6 MONTHS; ALJ'S INITIAL DECISION VACATED; CASE REMANDED FOR FURTHER DEVELOPMENT OF THE RECORD.
PIAZZA, BRUCE A.	86-6	CFTC	03/02/93	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; APPEAL DISMISSED.
PICCOLO, JOHN VINCENT	SD-89-6	CFTC	10/06/89				REG. DENIED AS FB.
PICCOLO, JOHN VINCENT	SD-93-8	CFTC	07/20/93				CONDITIONAL FB REGISTRATION GRANTED; CONDITIONS TO REMAIN IN EFFECT 18 MONTHS.
PICK, JOSEPH A.	90-28	CFTC				COMPLAINT FILED	
PICK, JOSEPH A.	92-17	CFTC	05/31/95	4f(2) 4c(b) 6(b)	1.17(a)(1) 1.17(a)(4) 1.12(a) 33.10 166.3 1.18(a)		CEASE & DESIST ORDER.
PICKRON, THOMAS A.	78-120A	ND GA	01/26/78	4f 4g	1.17 1.18 1.32	PERMANENT INJUNCTION	
PICKRON, THOMAS A.	78-45	CFTC	08/02/79	4f(1)	1.17		CEASE & DESIST ORDER; REG.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f(2) 4g	1.18 1.32		REVOKED AS AP.
PIETSCH, EUGENE HAROLD JR.	82-40	CFTC	09/16/83	4k(4) 6(b)	3.31(b)		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
PINCKNEY, LARRY D.	78-0122	WD MO	12/11/78	4o		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
PINCKNEY, LARRY D.	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER; REG. REVOKED AS AP.
PINTACUDA, FRANK	80-0689	SD NY	03/31/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
PITT, PETER	SD-82-4	CFTC	05/20/82				REG. DENIED AS AP.
PLAINS COTTON COOPERATIVE ASSOCIATION	75-11	CFTC	07/15/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
PLATONOFF, VICTOR V.	78-48	CFTC	01/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; REG. REVOKED AS AP.
PLESCHER, PAUL FRANK	94-4	CFTC	11/02/93	4a(e)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
PLOSHNICK, GARY	82-2062	SD FL	01/25/84	4o(1)		PERMANENT INJUNCTION	
PLOSHNICK, GARY	84-23	CFTC	02/24/84	4b 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
POLIVNICK, MARVIN JULIUS	81-25	CFTC	03/30/82				REG. DENIED AS AP.
POLLACK, HENRY	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.
POLLAK, HARVEY B.	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 JOINTLY OWED; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
POLONYI, AL S.	82-38	CFTC	04/26/83	4c(a)(A) 4f 4c(a)(C) 9(b) 6(b) 6(c)	1.14(b) 3.31(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
POLYAXON CAPITAL, INC.	85-31	CFTC	01/22/88	4m 4o(1) 4n(3)(A)	4.41(a) 1.31 4.32		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
POMERANTZ, MICHAEL S.	90-14	CFTC	03/12/91	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	4.41(b) 1.31(a)(1) 1.35(a) 1.35(a-1)(4) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; NOT TO APPEAR ON ANY TRADING FLOOR DURING HOURS OF OPERATION; MUST LIQUIDATE FUTURES POSITIONS.
POOLER, JAMES A.	84-35	CFTC	10/16/84	4e			C EASE & DESIST ORDER; PEN. AMNT.: \$10,000.
PORTARO, JR. RICHARD D.	92-041-LDG	D NV	08/03/93			PRELIMINARY INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; AT LEAST \$552,631 WITHIN 90 DAYS; ALL CONTRACTS RESCINDED; COURT ORDER.
PORTUESE, PETER A.	78-19	CFTC	08/12/82	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 120 MO.; REG. DENIED AS AP.
PORTUESE, PETER A.	78-4195EW	SD NY	09/26/78	4d(2) 4b 4f(2) 4k(1)	1.17 1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RE3CORDS.
POTOCHNIK, ROY	75-1970A	ND GA	10/15/76	4c(b) 4m	30.01 30.02	PERMANENT INJUNCTION	
POWELL, CHARLES EDWARD	1:99-CV-138	E.D. TN.	2/3/00	4b(a)(i) 4k(2) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; RESTITUTION OF \$334,167 PLUS PRE-JUDGEMENT INTEREST OF \$26,704 PLUS POST-JUDGEMENT INTEREST; CIVIL MONETARY PENALTY OF NO GREATER THAN TRIPLE HIS MONETARY GAIN OR \$330,000; 4/28/99 EX PARTE ORDER REMAINS IN FULL FORCE & EFFECT UNTIL HE COMPLIES WITH OBLIGATIONS IN THIS ORDER.
POWERS, JIM	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
PRAGMACAPITAL CORP.	CV-97-838MA	D OR	07/22/98	4b(a)(i)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(ii) 4m(1) 4o(1)			STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS LIABLE FOR RESTITUTION AMOUNT OF \$3,931,524.69; DEFENDANTS ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION OR LICENSING UNDER THE CEA OR OREGON SECURITIES LAW IS REQUIRED; ALSO VIOLATED OREGON STATUTES.
PRATT, RICHARD J.	78-42	CFTC	07/24/79	6(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
PRATT, RICHARD J.	80-15	CFTC	08/07/81	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER.
PRECIOUS MEALS INTERNATIONAL, INC.	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
PRECIOUS METALS ASSOCIATES, INC.	78-1393	CD MA	09/06/78	4d(2) 4f(2) 4c(b) 4g	1.31 1.32 1.20 32.6 32.7	PERMANENT INJUNCTION	
PRECIOUS METALS ASSOCIATES, INC.	79-13	CFTC	06/26/81	4c(b)	32.9 32.8(a) 32.3(b)(2)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
PRECIOUS METALS RESOURCES, INC.	86-6778	SD FL	10/22/86	4c(c)		PERMANENT INJUNCTION	RECEIVER APPOINTED; ALSO ENJOINED FROM VIOLATING FLORIDA INVESTOR PROTECTION ACT.
PREFERRED CAPITAL INVESTMENT COMPANY	79-1085	ND TX	03/19/84	4c(b) 4c(c)	32.9 32.11 32.6(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
PREMEX INC.	84-0375	SD CA	02/29/84	4f(2)		PRELIMINARY INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; FIRM IN BANKRUPTCY; PROCEEDINGS DISMISSED.
PREMEX, INC.	80-35	CFTC	04/15/80				CONSOLIDATED WITH 79-44.
PREMEX, INC.	78-115	ND IL	01/20/78	4f(2)	1.17	PERMANENT INJUNCTION	
PREMEX, INC.	79-44	CFTC	02/01/84	4f(2) 19 4f(1)	1.17(a) 31.03 1.18(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; REG.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				6(b)	1.10		DENIED AS CTA; FIRM IN BANKRUPTCY; APPEAL PROCEEDINGS STAYED BY 9TH CIR.
PREMIER PRECIOUS METALS COMPANY	82-16	CFTC	03/25/82	4 4h 4c(b) 4c(c) 4m	32.11 166.3		CEASE & DESIST ORDER.
PRENDERGAST, BRIAN	96-D-389	D COL	01/24/97	4o(1) 4m(1) 4b(a)(i) 4k(2) 4b(a)(ii) 4b(a)(iii) 9(a)(1) 4n 9(a)(3)	4.41 3.31 4.21(a) 4.21(g)(1) 1.31 4.22 4.23	PERMANENT INJUNCTION	PERMANENTLY RESTRAINED FROM APPLYING FOR REGISTRATION OR ENGAGING IN ANY ACTIVITY REQUIRING REGISTRATION; THE FREEZING OF ASSETS OF DEF. SHALL BE LIFTED.
PRESTIGE METALS DEPOSITORY CORPORATION	79-1406	SD FL	05/20/84	4c(b) 4c(c)	32.11 32.9 32.3	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PREWITT, JOSEPH	00-15	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL COMPLY W/ UNDERTAKINGS.
PRIME FINANCIAL SERVICES, INC.	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
PRIME FINANCIAL SERVICES, INC.	82-3	CFTC	11/20/81	4 4b 4c(b) 4c(c) 4h 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
PRIME PRECIOUS METALS COMPANY	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
PRIME PRECIOUS METALS COMPANY	82-3	CFTC	11/20/81	4 4b 4c(b) 4c(c) 4h	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4m 4o(1)			
PRIME STRATEGIC METALS COMPANY	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
PRIME STRATEGIC METALS COMPANY	82-3	CFTC	11/20/81	4 4b 4c(b) 4c(c) 4h 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
PRINCETON COMMODITY CORPORATION	82-3	CFTC	11/20/81				REG. REVOKED AS CTA & CPO.
PRINCETON ECONOMIC CONSULTANTS, INC.	85-47	CFTC	02/08/93	4m 4b(A) 4o(1)	4.31 4.32 4.41(a) 4.41(b) 4.31(a) 4.31(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; APPEALED.
PRINCETON ECONOMIC CONSULTANTS, INC.	87-10	CFTC	07/16/87				APPEALED; CONSOLIDATED WITH 85-47.
PRINCETON ECONOMICS INTERNATIONAL, LTD.	99-CIV-9669	S.D.N.Y.	11/30/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m 4o		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ACCOUNTING MADE.
PRINCETON GLOBAL MANAGEMENT, LTD.	99-CIV-9669	S.D.N.Y.	11/30/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m 4o		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ACCOUNTING MADE.
PRIOR, KEVIN M.	84-17	CFTC	11/25/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
PRISM FINANCIAL CORP.	96-D-389	CFTC	01/24/97				DEFAULT JUDGMENT; RESTITUTION OF \$946,148.62.
PRIVATE CAPITAL FUTURES MANNAGEMENT	91-7008	SD FL	05/29/92	4o		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; MARSHA LYONS APPOINTED TEMPORARY ESCROW AGENT; DEFENDANTS DEPOSIT OF \$223,348.57 TO BE USED TO RETURN CUSTOMER FUNDS.
PRIVATE RESEARCH, INC.	95-6970	SD FL	11/05/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 9a(1)			APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
PROBBER INTERNATIONAL EQUITIES CORPORATION	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
PROBBER, HAYDON, SCAPIER LTD.	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
PROBBER, LLOYD	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
PRO-BROKER SERVICE, INC.	97-2927	D. NJ	3/1/00	4b(a) 4c(b) 4d(1) 4d(2) 9(a)(1)	1.33 (a)-(b) 33.3(b) 33.9 33.10	DISTRICT COURT OPINION	TRADING PROHIBITION; DEFENDANTS OWE RESTITUTION OF \$265,000.
PROFIT MARK DATA, INC.	93-0067	CD CA	03/14/94	4(a)		PERMANENT INJUNCTION	
PRUDENTIAL ACCUMULATION FUNDING CORP.	84-6401NCR	SD FL	05/17/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
PRUDENTIAL SECURITIES, INC.	92-29	CFTC	09/29/92	4g 4k(1)	1.35(a-1) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$240,000.
PRUDENTIAL SECURITIES, INC.	95-13	CFTC	06/19/95	4g	1.31(a) 1.35(a) 1.35(a-1) 1.37 1.38 1.55 33.7 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$725,000; COOPERATE WITH COMMISSION; CONDUCT REVIEW AND MAKE CHANGES WHERE NECESSARY.
PRUDENTIAL SECURITIES, INC.	97-8	CFTC	05/20/97		166.3 1.31(a) 1.35(a) 1.35(a-1)(1)	COMPLAINT FILED	
PRUDENTIAL-BACHE SECURITIES	84-40	CFTC	06/06/84	4g	1.31 1.55		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
PUGLIESE, MICHAEL	86-34	CFTC	01/04/91	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRADING PRIVILEGES REVOKED; REG.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REVOKED AS AP; ALJ INITIAL DECISION REINSTATED; TO BE FINAL 2/4/91.
PULLEN , LARRY WAYN E	89-20	CFTC	03/20/90	4d(2) 4f(2) 6(b)	1.10(d)\ 1.17(a) 1.20(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
PULLMAN, JAMES	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
PULLMAN, JAMES	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	
PUNCERELLI, KENNETH J.	84-27	CFTC	01/08/86	4b(A) 4k(2) 6(b)	1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$45,000; REG. REVOKED AS AP.
PUNDI-FORSTEN INTERNATIONAL	93-0067	CD CA	06/18/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; \$1,100,000 TO RECEIVER JOINTLY WITH MOSES L. WONG.
PUNDI-FORSTEN, INC.	93-0067	CD CA	06/18/93	4(a)		PERMANENT INJUNCTION	
PYNE COMMODITIES CORPORATION	82-23	CFTC	05/16/83	4b(2) 4f(1) 4f(2) 4k 4b	1.10(a) 1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
QUANTUM ADVERTISING & MARKETING, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
QUILLIN, RAYMOND THOMAS	80-1723	D MD	12/31/80	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	
QUINN AND COMPANY, INC.	83-41	CFTC	12/31/84	4o(1)	4.20(c) 4.22(a) 4.22(h) 4.21(a) 4.41(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
QUINN AND COMPANY, INC.	84-1352	CD MA	10/25/84	4o(1) 4n(3)(A)	1.31 4.23	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS &

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECORDS; RECEIVER APPOINTED.
QUINN, TERENCE	83-41	CFTC	12/31/84	4o(1)	4.20(c) 4.22(a) 4.22(b) 4.21(a) 4.41(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
QUINN, TERENCE	84-1352	CD MA	10/25/84	4o(1) 4n(3)(A)	1.31 4.23	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
QUITER, RICHARD J.	85-08361	ND IL	08/01/86	4b(A) 4b(B) 4b(C) 4o(1) 4o(2) 4d(1) 4m(1)	4.21 4.22	PERMANENT INJUNCTION	FREEZE OF ASSETS; FRCIEVER APPOINTED.
QUITER, RICHARD J. II	92-26	CFTC	01/06/93	4k(1)	166.2		CEASE & DESIST ORDER; REG. REVOKED AS CTA; NOT APPLY FOR REGISTRATION; NOT ACT IN ANY CAPACITY REQUIRING HIM TO ACCEPT CUSTOMER FUNDS.
R & M PREIOUS METALS, INC.	80-2082	WD TN	04/23/82	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
R&W TECHNICAL SERVICES, LTD.	96-3	CFTC	03/16/99	4b 4o	4.41(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,375,000 JOINTLY OWED; APPEALED.
R. B. THOMPSON ASSOCIATES, INC.	82-25	CFTC	04/20/83	4b(A) 4d(1) 4g(1) 4o(1)	1.33(a) 1.46(a) 3.10 4.21 4.22		CEASE & DESIST ORDER; REG. REVOKED AS CPO & CTA; TO WITHDRAW REGISTRATION APPLICATIONS AND NOT REAPPLY.
R. B. THOMPSON ASSOCIATES, INC.	82-879	D MA	04/25/83	4b(A) 4d(1) 4g(1) 4o(1)	1.17 1.33(a) 1.46(a) 4.21 4.22	PERMANENT INJUNCTION	RECEIVER APPOINTED.
R. GERVAIS FARMS, INC.	82-42	CFTC	04/12/84	4d(2) 4f(1) 4f(2) 4g(1) 4k(1)	1.10(b) 1.12 1.17(a)(1) 1.20(a) 1.23 1.32 1.33 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
R.J. FITZGERALD & CO., INC.	99-1558-CIV-T-23F	MD FL	07/06/99	4b(a)(i) 4b (a)(iii)	32.9(a) 32.9(c)	COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(b)	33.7(a) 33.7(b) 33.10(a) 33.10(c)		
R.J. O'BRIEN AND ASSOCIATES, INC.	82-44	CFTC	01/23/86	4b 4g 4k	1.31 1.35(a) 1.55 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$45,000.
RACHMELOWITZ, DAVID	78-1069	SD FL	06/09/83	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
RADER, JAMES	78-0122	WD MO	12/13/78	4o		PERMANENT INJUNCTION	
RADER, JAMES	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
RALLI B ROTHERS (BANKERS) S.A.	82-15	CFTC	10/08/86		21.02		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
RALPH, STANLEY J. JR.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
RAMCHANDRAN, N.S.	95-1598-C	D NJ	03/24/99	4b(a)(i) 4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	PERMANENT INJUNCTION	
RAMCO PETROLEUM INC.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
RAMIREZ, ANTHONY S.	97C6528	ND IL	09/23/97	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1) 9(a)(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION.
RAMSEY, SCOTT T.	84-34	CFTC	11/08/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
RAND-BOND HOLDINGS, INC.	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED RECEIVER.
RAND-BOND OF NORTH AMERICA, INC.	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED RECEIVER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RANDOLPH, REMINGTON	SD-92-2	CFTC	03/24/92		8a(3)(D)		CEASE & DESIST ORDER; REGISTRATION AS FLOOR BROKER GRANTED; MAY NOT ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH MANAGER OF ANY REGISTRANT; MAY NOT ACT IN SUPERVISORY CAPACITY; MAY NOT EXERCISE DISCRETIONARY TRADING AUTHORITY; EMPLOYER MUST EXECUTE 'EMPLOYING REGISTRANT AGREEMENT': CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
RAPAPORT, DAVID J.	84-31	CFTC	09/07/84	4b(A) 4b(B) 4b(C) 4d	1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
RAPAPORT, DAVID J.	84-6577	SD NY	09/17/84	4b(A) 4b(B) 4b(C) 4d	1.20(a) 1.21	PERMANENT INJUNCTION	
RASKIN, JEFFREY CARL	81-4409	CD CA	11/12/82	4 4b 4h 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
RASKIN, JEFFREY CARL	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT.
RATTET, LESLIE E.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	TO PAY \$1,000 TO RECEIVER.
RAUSCHER PIERCE REFSNES, INC.	82-9	CFTC	02/26/82	4d(2)	1.20(a) 1.23 1.26(a) 1.31 1.32		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
RAY E. FREIDMAN AND CO.	76-16	CFTC	11/02/76	4g	1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
RAY, JAMES	79-828	D AZ	04/17/81	4c(c) 4c(b)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
READ, ERON DEMIAN d/b/a NEW AGE TRADING TECHNIQUES	00-14	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
REAGAN, GREGORY M.	96-3	CFTC	03/16/99	4b 4o	4.41(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,375,000 JOINTLY OWED; APPEALED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
REARDON, FRANCIS R.	75-3	CFTC	12/08/75	4b(A)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
REDDICK, CHARLES	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
REDDICK, CHARLES	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	
REDDIN, MICHAEL G.	84-2066-ER	CD CA	08/28/86	19(b) 19(c) 4(a) 4b(a) 4b(c) 4o(1) 4o(2)	31.1 31.2 31.03	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING THE CALIFORNIA BUSINESS AND PROFESSIONS CODE.
REDDY, STEPHEN F.	92-19	CFTC	02/04/98	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMTN.: \$300,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB; ON APPEAL.
REDLING, PETER MATTHEW	83-29	CFTC	05/12/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
REEVES, THOMAS G.	95-15	CFTC	08/20/97				TRADING PRIVILEGES REVOKED.
REFCO	95-2	CFTC	12/20/94	4d(2) 4g(a) 6(c)	1.12b 1.12(d) 1.20 1.21.01 1.22 1.23 1.25 1.26 1.32 1.33 1.36 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$1,250,000; TO COMPLY WITH AGREED UNDERTAKINGS.
REFCO INC.	83-20	CFTC	02/17/83	4a(2)(B) 4g(1)	150.2 150.4 150.11 150.12 1.31 1.35 1.37(a) 17.00 17.01 17.02 166.3 1.25 1.22 1.20		CEASE & DESIST ORDER; PEN. AMNT.: \$375,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
REFCO INC.	88-8	CFTC	02/11/88	4g(1) 6(b)	1.12 17.01(b)(6) 17.01(d) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$21,000.
REFCO INC.	88-18	CFTC	04/01/92		166.2		CEASE & DESIST ORDER.
REFCO, INC.	90-21	CFTC	08/28/90	4a(5) 4g(1) 6(b)	1.31 1.35 1.55 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$220,000; TO IMPLEMENT CHANGES IN THE SUPERVISION OF ITS APs.
REFCO, INC.	92-15	CFTC	03/12/92	4a(5) 4g(1) 6(b)	1.31 1.35 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$440,000.
REFCO, INC.	96-2	CFTC	01/24/96	4d(2) 6(c)	1.20 1.22 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$925,000; COMPLY WITH VARIOUS UNDERTAKINGS AS SET FORTH IN THE COMMISSION ORDER.
REFCO, INC.	99-12	CFTC	05/24/99	4g	1.35(a-1)(2) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000,000; \$1 MILLION TO FUND INDUSTRY STUDY.
REFLEX ASSET MANAGEMENT CORP.	SD-99-8	CFTC	11/15/99			ALJ ORDER	REGISTRATION AS CPO & CTA REVOKED. BECAME FINAL ORDER OF THE COMMISSION ON 12/15/00.
REFLEX ASSET MANAGEMENT CORPORATION	98CIV5270	SD NY	11/03/98	4b(a)(i) 4b(a)(iii) 4o(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA.
REGAL COMMODITIES, INC.	84-6495-JE	SD FL	07/01/85 04/01/86	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; CHARGED WITH CIV. CONTEMPT.
REHN, MARK E.	95-10	CFTC	05/20/99	4f(b) 6c	1.17(a)(1) 1.17(a)(4) 1.10(d)(1) 1.12(a)(1) 1.12(a)(2) 1.12(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000; REG. REVOKED AS AP.
REID, CAMERON AND COMPANY	87-06470-DT	CD CA	12/14/87	4(a) 4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; ALSO ENJOINED FROM VIOLATING THE CALIF. CORPORATIONS CODE.
REIDY, WILLIAM J.	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.
REIFLER TRADING	98-2	CFTC	01/22/99	4k(1)	166.4		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CORPORATION					1.35(a-1)		AMNT.: \$59,033 JOINTLY OWED.
REIFLER, BRADLEY C.	98-2	CFTC	01/22/99	4k(1)	166.4		CEASE & DESIST ORDER; PEN. AMNT.: \$59,033 JOINTLY OWED.
REILY, JOHN B.	00-11	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1) 4c(b)	4.41(a) 33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
REINER, JACK	78-55	CFTC	03/11/80	4c(b)	32.9 32.7 32.5(a) 32.5(c)		CEASE & DESIST ORDER; REG. REVOKED AS AP; MAY REAPPLY FOR REGISTRATION IN 2 YEARS.
REINER, JACK	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	RO PAY \$1,000 TO RECEIVER.
REIS, SEYMOUR	90-25	CFTC	12/17/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS AP; MAY NOT APPLY TO REGISTER IN ANY CAPACITY.
RELF, WILLIAM J.	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)	4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
RENNECKER, JAMES	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
REPUBLIC ADVISORY CORPORATION	81-1189	D NJ	01/23/82	4n(1) 4o(1) 4b(A) 4b(C)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	RECEIVER APPOINTED.
REYNOLDS, RICKEY W.	87-4	CFTC	12/09/88	4b			CEASE & DESIST ORDER; NEVER TO SEEK REGISTRATION; NEVER TO TRADE FOR OTHERS; NOT TO TRADE FOR OWN ACCOUNT FOR 5 YEARS; NEVER TO BE OFFICER, SHAREHOLDER, AGENT OR ASSOCIATE OF A REGISTRANT.
REYNOLDS, RICKEY WAYNE	87-19	CFTC	12/09/88	4b			CEASE & DESIST ORDER; NEVER TO SEEK REGISTRATION; NEVER TO TRADE FOR OTHERS; NOT TO TRADE FOR OWN ACCOUNT FOR 5 YEARS; NEVER TO BE OFFICER, SHAREHOLDER,

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							EMPLOYEE, OR AGENT OF A REGISTRANT.
REYNOLDS, WILLIAM W.	78-2240	WD TN	07/05/78	4c(b) 4f 4g	32.7 32.9 1.17 1.18 32.6	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
RHEE, ANDREW DAVID	SD-99-8	CFTC	11/15/99			ALJ ORDER	REGISTRATION AS AP REVOKED. BECAME FINAL ORDER OF THE COMMISSION ON 12/15/00.
RHEE, ANDREW DAVID	98CIV5270	SD NY	11/03/98	4b(a)(i) 4b(a)(iii) 4o(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; DISGORGEMENT OF \$2,308,578 JOINTLY & SEVERALLY OWED WITH TODD KELLY; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA.
RHEE, ANDREW DAVID	SD-99-8	CFTC	11/15/99				REG. REVOKED AS AP.
RHOADES, DONALD	82-2062	SD FL	04/10/85	4o(1)	4.31(a) 166.3	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
RHOADES, DONALD	85-17	CFTC	03/29/85	4o(1)	4.31(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP, CTA & CPO; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS AND THEN ONLY AS AP OF FCM.
RICHARD FRANK COMPANY	84-24	CFTC	04/30/85	4a(2)(B)	150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 1 MO. OR LESS.
RICHARDS, STEVE	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
RICHARDS, THOMAS H.	95-12	CFTC	06/06/95	4o(1)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 10 YEARS; NOT TO SOLICIT FUNDS FOR FUTURES OR OPTIONS FOR 10 YEARS.
RICHARDS, THOMAS H.	96-C-0334	L	07/18/96				CIVIL MONETARY PENALTY OF \$217,442.55 RECEIVED; SATISFIES CIVIL MONETARY PENALTY DUE IN CASE 95-12.
RICHARDSON SECURITIES, INC.	78-10	CFTC	01/27/81	4g	1.35(a)		

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RICHARDSON, GEORGE	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
RICHMAN, JEFF SCOTT	91-CIV-6136	SD FL	08/06/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3	PERMANENT INJUNCTION	
RICHMAN, JEFF SCOTT	92-23	CFTC	07/27/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; REG. REVOKED AS AP; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
RICHMAN, JEROME	78-12	CFTC	04/19/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
RICHTER, ROBERT ALFRED	81-12	CFTC	01/13/82				REG. DENIED AS CTA.
RICHWELL INTERNATIONAL CONSULTANTS	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT OF \$343,008.64 FOR DISTRIBUTION TO INVESTORS.
RICHWELL INTERNATIONAL LTD.	93-3494-C	ND CA	04/18/95	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; \$343,008.64 AS RESTITUTION TO CUSTOMERS; RESPONDENTS SHALL NOT TRANSFER FUNDS OR PROPERTY FOR THE PURPOSE OF CONCEALING.
RIDENHOUR, LESLIE H.	89-5	CFTC	03/24/93	4(g)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ALJ OPINION SUMMARILY AFFIRMED.
RIDGEWAY ASSOCIATES, INC.	92-26	CFTC	08/11/92	4k(1)	166.2		CEASE & DESIST ORDER.
RIETHMAN, ROBERT J.	3:98CV0281AS	N.D. IND.	1/12/00	4b(a)(i) 4k(2) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$3,000; STOP SOLICITATION FOR 5 YRS.; TRADING PROHIBITION FOR 5 YRS.; RESTITUTION OF \$23,056.51 PLUS PRE-JUDGEMENT INTEREST OF \$10,273.78 PLUS POST JUDGEMENT INTEREST UNTIL PAID IN FULL; CIVIL MONETARY PENALTY OF \$10,000; SHALL NOT SEEK REGISTRATION W/ COMMISSION FOR 5 YEARS.
RIETZ, CHARLES	81-18	CFTC	09/17/82	4b 4o(1) 4k(1) 4m 4n 6(b)	1.10c 1.10d 4.21		CEASE & DESIST ORDER; PEN. AMNT.: \$12,500; TO WITHDRAW ALL REGISTRATION APPLICATIONS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RILEY, DANIEL P.	SD-98-4	CFTC	06/22/99	8a(3)(G) 8a(3)(M)			CEASE & DESIST ORDER; APPLICANT FILES NOTICE OF APPEAL OF 6/8/99 INITIAL DECISION DENYING FB REGISTRATION.
RILEY, MARTIN J.	SD-93-10	CFTC	09/29/94				REG. REVOKED AS FB.
RIS COMMODITIES, INC.	91-3	CFTC	10/16/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.31(a)(1) 1.35(a-1)(2) 1.35(a-1)(4) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 24 MO.; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING SUSPENSION.
RISK CAPITAL MANAGEMENT, INC.	85-3	CFTC	07/03/85	4o(1) 4n(3)(A) 4n(4)	4.24 4.23(a) 4.22(b) 4.21(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; SUSP. AS CPO 12 MO.
RISK, THOMAS J.	77-3864	CD CA	06/26/80	4c(b)		PERMANENT INJUNCTION	
RISK, THOMAS J.	79-7	CFTC	06/11/80	4c(b)	32.5 32.9		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
RISSO, ANDREW F.	78-5	CFTC	09/15/78				REG. DENIED AS AP.
RITTER, THOMAS	76-20	CFTC	11/17/76	4b 4c			SUSP. AS FB 1 MO. OR LESS.
RITTER, THOMAS	76-2095R	CD CA	07/30/76	4b 4c		PERMANENT INJUNCTION	
RITTER, THOMAS	77-8	CFTC	05/12/86	4c 4b(B)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
RITTER, THOMAS H.	80-11	CFTC	05/12/86				SEE DOCKET 77-8.
RMA PARTNERS	85-50	CFTC	02/27/87	4m			CEASE & DESIST ORDER; PEN. AMNT.: \$20,000 JOINTLY OWED.
ROBERTS, ADRIAN KENNETH	95-16	CFTC	08/10/95	4m(1)			CEASE & DESIST ORDER; COMPLY WITH UNDERTAKINGS; TO APPLY FOR REGISTRATION AS CTA.
ROBERTS, CLIFFORD SPENCER	82-44	CFTC	01/23/86	4b 4k	1.10(b) 166.2		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
ROBERTS, JEFFREY	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
ROBINSON, ASHLEY L.	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
ROCHE, LEONEL R.	90-1	CFTC	04/17/90		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RODGER & SPARKS, INC.	SD-92-7	CFTC	11/18/92	8a(2)(D) 8a(2)(H)			REG. REVOKED AS IB.
RODGER, REID L.	SD-92-7	CFTC	11/18/92	8a(2)(D) 8a(2)(H)			REG. REVOKED AS AP.
RODGERS, WILLIAM C.	83-53	CFTC	03/28/84	4c(a)(A) 4e 4i	1.38(a) 18.00 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
RODIN, ALAN H.	76-2	CFTC	02/03/76				REG. DENIED AS AP.
RODMAN, WILLIAM	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
RODRIGUEZ, GENE MANUEL	86-72878DT	ED MI	08/18/87	4(a)		PERMANENT INJUNCTION	
RODRIGUEZ, ROBIN	95-8	CFTC	01/08/98	4o(1)(A) 4o(1)(B) 4c(b)	1.46 166.3		CEASE & DESIST ORDER.
RODRIGUEZ, ROBIN	95-9	CFTC	01/08/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	1.46 166.3		CEASE & DESIST ORDER; RODRIGUEZ TO WITHDRAW HIS REGISTRATION AS AN AP AN D NOT TO APPLY FOR REGISTRATION AS AN AP EXCEPT AS AN AP OF AN IB; NOT TO ACT IN ANY CAPACITY AS AN PRINCIPLE AP OR AGENT REQUIRED TO BE REGISTERED AS AN FCM.
ROEDER, JOYCE a/k/a JOYCE VALDEZ	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)	4.41(a) 4.41(b) 4.31(a) 4.31(b)	COMPLAINT FILED	
ROGERS, DAVID E.	80-3	CFTC	02/26/82	4m 4o			CEASE & DESIST ORDER; REG. REVOKED AS CTA & CPO; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
ROGERS, GERALD LEO	90-0332	CD CA	01/28/93 07/22/93	4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; APPEALED; APPEAL DISMISSED 09/21/93.
ROGERS, JAMES	84-243PHX	D AZ	06/27/86	19	31.1 31.2 31.3	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF THE ARIZONA CONSUMER FRAUD ACT; TO PAY TO THE STATE OF ARIZONA \$2,000 FOR COSTS AND PENALTY AND \$1,800 FOR RETURN TO CUSTOMERS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ROGERS, MARTIN K.	00-33	CFTC	9/25/00	6(c)		COMMISSION ORDER	CEASE & DESIST ORDER; FB REGISTRATION SUSPENDED FOR 30 DAYS; AFTER 30 DAY SUSPENSION, FB REGISTRATION WILL BE CONDITIONED AND RESTRICTED FOR ONE YEAR.
ROGERS, RICHARD S.	89-7	CFTC	06/20/89	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; NOT TO APPLY FOR REGISTRATION OR ACT IN CAPACITY OF A REGISTRANT.
ROMBERG, RONALD BRUCE	95-6970	SD FL	11/05/98	4b(a)(i) 4b (a)(iii) 4o(1) 4m(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
ROMERO, ANGEL ANTONIO	SD-96-8	CFTC	04/10/97	8a(2)(D) 8a(2)(G) 8a(3)(M)			REG. REVOKED AS AP; STATUTORILY DISQUALIFIED FROM REGISTRATION IN ANY CAPACITY.
ROMERO, FRED A.	84-30	CFTC	10/29/84	4b 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
ROONEY, RAYMOND W.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
ROSE, CLAYTON	80-1723	D MD	12/31/80	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	
ROSE, JACK L.	82-6108	SD FL	01/07/83 10/24/84	4 4h 4n(3)(A) 4o(1)	4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; CONVICTED OF CRIM. CONTEMPT.
ROSE, JACK L.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
ROSE, JAMES H.	79-49	CFTC	12/04/79	6(b) 4c(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
ROSEN, ALAN	80-15	CFTC	08/07/81	4b 4o 4k			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.
ROSENBERG COMMODITIES,	80-28	CFTC	03/27/86	4g	1.37		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INC.							AMNT.: \$10,000.
ROSENBERG, ALAN J.	80-29	CFTC	10/21/86	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$90,000 JOINTLY OWED; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 4 MO.
ROSENBERG, ALLAN S.	SD-91-5	CFTC	03/31/94				NOT TO EXERCISE DISCRETIONARY TRADING AUTHORITY OVER AND CUSTOMER ACCOUNTS.
ROSENBERG, MURRAY IRA d/b/a PRO BROKER SERVICES, INC. a/k/a PRO-BROKER SERVICE, INC.	97-2927	D. NJ	3/1/00	4b(a) 4c(b) 4d(1) 4d(2) 9(a)(1)	1.33(a)-(b) 33.3(b) 33.9 33.10	DISTRICT COURT OPINION	TRADING PROHIBITION; DEFENDANTS OWE RESTITUTION OF \$265,000.
ROSENBLOOM, MICHAEL HOWARD	83-54	CFTC	12/01/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
ROSENFELD, NEIL ADAM	SD-95-14	CFTC	04/06/95				FB CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
ROSENTHAL AND COMPANY	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED; TO UNDERTAKE TO IMPLEMENT RECOMMENDATIONS OF INDEPENDENT CONSULTANT.
ROSENTHAL AND COMPANY	80-21	CFTC	06/07/85	4b 4o			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
ROSENTHAL, LESLIE	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED.
ROSS, SCOTT C.	87-16	CFTC	09/22/87	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT: \$3,000; TRAD. PRIV. SUSP. 24 MO.; SUSP. AS AP 1-2 MO.; NOT TO ACCEPT MANAGEMENT POSITION WITH CFTC REGISTRANT FOR 2 YEARS.
ROSSI, ROBERT C.	99-4	CFTC	02/04/99			COMPLAINT & AMENDED COMPLAINT FILED	
ROTH FINANCIAL, INC.	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
ROTH, WILLIAM	79-1663	SD NY	01/26/81	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
ROTH, WILLIAM B.	78-55	CFTC	05/19/81	4c(b)	32.9 32.5		CEASE & DESIST ORDER; REG. REVOKED AS AP.
ROTH, WILLIAM B.	SD-81-1	CFTC	10/26/81				REG. DENIED AS AP.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ROTHLIN, ROBERT M.	78-54	CFTC	01/03/83	4b 4c(b) 4d 6(b)	1.10(b) 32.3 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; REG. REVOKED AS AP.
ROTHSCHILD COMMODITIES CORPORATION	78-1822A	ND GA	11/17/78	4c(b)	32.6 32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
ROTHSCHILD INTERNATIONAL, INC.	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
ROTI, ANTHONY J.	89-5	CFTC	10/19/90				APPEALED.
ROTTMAN, SEYMOUR	78-43	CFTC	08/03/78				REG. REVOKED AS AP.
ROUSSO, DAVID	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.; APPEALED.
ROWELL, MARY A.	89-5	CFTC	03/24/93	4(g)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ALJ OPINION SUMMARILY AFFIRMED.
ROWLAND, ROSS E. SR.	84-25	CFTC	07/22/85	4f(1)	1.10a 3.11(c) 1.14(b) 3.31(b)		PEN. AMNT.: \$500.
ROYAL PIXLEY INC.	87-1494	ED NY	03/10/88	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
RUBEL, ROBERT J.	98-15	CFTC	08/13/98	4b(a) 4o(1)(A) 4o(1)(B) 4m	4.31(a) 4.31(b) 4.33(a)(7) 4.36(d)(1) 4.41(a) 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP & CTA; RUBEL SHALL LIQUIDATE ALL FUTURES AND OPTION POSITIONS HELD BY HIM.
RUBENSTRUNK, CHRISTOPHER	85-1555	ND CA	06/10/88	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ORDER OF DISGORGEMENT ISSUED ON 5/3/89; CR TO DISGORGE \$419,849.
RUDMAN, KEITH M.	82-37	CFTC	09/25/85	4b 4c(a) 4g	1.35 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
RUDMAN, KEITH M.	89-5	CFTC	05/11/90	4c(a)(A) 4c(a)(B) 6(b)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FB .
RUDMAN, KEITH M.	SD-95-4	CFTC	11/21/94				CONDITIONAL FT REGISTRATION GRANTED - CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
RUDOLF WOLFF FUTURES INC.	87-7	CFTC	02/27/87	4b(A) 4b(B) 4b(C) 4k(1)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
RUDY INC.	88-C-3-071	SD OH	05/02/89	6(d)1 6(d)2	1.20(a) 1.20(c) 1.55 33.7(a) 33.7(b) 1.33(a) 1.33(b)	PERMANENT INJUNCTION	
RUDY, ROBERT W. JR.	88-C-3-071	SD OH	05/02/89	6(d)1 6(d)2	1.20(a) 1.20(c) 1.55 33.7(a) 33.7(b) 1.33(a) 1.33(b)	PERMANENT INJUNCTION	
RUFENACHT, BROMAGEN AND HERTZ INC.	87-16	CFTC	09/22/87	4b(A) 4g(1) 4k(1) 4o(1)	1.35(a-1) 1.35(a-2) 4.13(b)(1) 4.13(b)(2)(i) 17.01(d) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TO IMPROVE SUPERVISION OF BRANCH OFFICES; TO IMPROVE COMPLIANCE PROGRAM.
RUIZ, HEIRBERTO EDDIE	SD-93-5	CFTC	03/15/93	8a(3)(D)			CONDITIONALLY REGISTERED.
RUROEDE, KARL F.	78-66	CFTC	01/04/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
RUTENBERG, JOEL	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; JOINTLY & SEVERALLY LIAB LE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
RUTMAN, ROBERT H.	97-3141	ED PA	10/30/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4d(1) 4d(2)	1.33(a) 1.55 1.33(b) 1.56(b)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANT PROHIBITED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMMISSION IS REQUIRED OR APPLYING FOR REGISTRATION WITH THE COMMISSION.
RYAN, JOHN H.	91-10	CFTC	08/13/93				TRADING PROHIBITION VACATED & CASE REMANDED.
RYAN, JOHN H.	SD-93-17	CFTC	04/25/97				TRAD. PRIV. SUSP. 72 MO.; REG. DENIED AS CTA; APPEALED.
RYMAR, ROBERT	87-3	CFTC	12/08/87	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 1 MO. OR LESS; PROHIBITED FROM HANDLING MANAGED ACCOUNTS FOR 12 MONTHS.
SABHARWAL, HARSIMRAN SINGH	88-29	CFTC	07/26/89	4b(A)	166.2		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; NEVER TO SEEK REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION FOR 10 YEARS.
SABIN, RABB	SACV00940	C.D. CAL.	9/26/00	4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
SAHAROFF, PAUL N.	78-48	CFTC	01/31/84	4b(A) 4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 33 MO.; REG. REVOKED AS AP.
SALER AND COMPANY	85-14	CFTC	11/01/85	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 4 MO.
SALITRA, STANLEY	79-0670	SD NY	03/12/79	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SALMON, HORACE G.	80-19	CFTC	12/02/86	4d(2) 4g 4i 6(b) 6(c) 9(b) 13(a)	1.20(a) 1.23 1.37 17.01 18.00 18.04		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER TO REAPPLY FOR REGISTRATION.
SALTER, CHRISTOPHER F. d/b/a CHRISTOPHER FENWICK	00-18	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
SALVAGE, MINDY S.	82-27	CFTC	09/12/86	4b(A) 4b(B) 4b(C) 4d(1) 4d(2)	1.7 1.20(a) 4.20 4.21(a) 4.21(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; APPEAL WITHDRAWN 11/24/86.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4h(2) 4n(3)(A) 4n(4) 4o(1)	4.21(c) 4.22(a) 4.21(g) 4.22(n) 4.23 1.31 1.25 1.22 1.20 1.12		
SAM FISHBERG AND COMPANY, INC.	80-32	CFTC	12/02/85	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$4,500 JOINTLY OWED; TRAD. PRIV. SUSP. 1-2 MO.
SAMARU, LINTON	97-4443	CAL	12/15/98 10/01/99	4b(a)(2)		PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION WITH THE COMMISSION OR SEEKING APPLICATION FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY AT ANY TIME IN THE FUTURE; JUDGMENT FOR RESTITUTION ENTERED AGAINST SAMARU OF \$882,005.98 PLUS INTEREST.
SAMARU, LINTON a/k/a STEPHEN BRADSHAW	CIV-97-4443 WMB	C.D. CAL.	10/1/99			PAYMENT ORDER	JUDGEMENT FOR RESTITUTION OF \$882,005.98 PLUS INTEREST ENTERED.
SAMEROFF, PHILLIP A.	78-63	CFTC	01/15/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
SAMPSON, FRANK L. JR.	85-3	CFTC	07/03/85	4o(1) 4n(3)(A) 4n(4)	4.24 4.23(a) 4.22(b) 4.21(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
SAMUELSON, DAVID A.	SD-90-4	CFTC	07/26/90				CONDITIONALLY REGISTERED AS FB; NOT TO ACT AS PRINCIPAL, PARTNER, OFFICER, DIRECTOR, OR MANAGER OF ANY ENTITY REQUIRED TO REGISTER UNDER THE CEA; NOT TO SUPERVISE ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED UNDER THE CEA; NOT TO EXERCISE DISCRETIONARY TRADING AUTHORITY OVER ANY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CUSTOMER ACCOUNT; NOT TO APPLY FOR REGISTRATION IN ANY OTHER CAPACITY WHILE CONDITIONS ARE IN EFFECT.
SAN DIEGO FOREIGN CURRENCY, INC.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
SAN FRANCISCO SUN HING BULLION	92-9	CFTC	12/09/91	4(a) 4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY FOR REGISTRATION.
SAN FRANCISCO SUN HING BULLION LIMITED	90-5214R	CD CA	12/17/91	4(a) 4b(A)		PERMANENT INJUNCTION	
SANCHEZ, THOMAS	78-55	CFTC	05/25/79	4c(b)	32.3 32.5(a) 32.5(c) 32.7 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$500.
SANCHEZ, WILLIAM	97CIV5255	SD NY	01/27/98	4b(a)(i) 4b(a)(ii) 4o 9(a)(1) 4m(1)		PRELIMINARY INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
SANDERS, CHARLES A.	83-40	CFTC	11/28/83	4o(1) 4n(4)	4.22(a) 4.22(b) 4.22(c)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
SANDERS, RICHARD	80-0689	SD NY	11/28/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SANDS, TERRY A.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY AND SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,499,950 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
SANTAGATA, JOSEPH	90-1	CFTC	10/10/89	4c(a)(A) 4g	1.31(a)(1) 1.35(a) 1.35(a-1)(2)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; SUSP. AS FB 1 MO. OR LESS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SANTIMAURO, JOHN	SD-92-6	CFTC	09/29/92	8a(3)(M)	1.35(a-1)(4)		FLOOR BROKER REGISTRATION RESTRICTED FOR 2 YEARS; MAY NOT ACT AS PRINCIPAL, PARTNER, OFFICER OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED; MAY NOT SUPERVISE; MAY NOT EXERCISE DISCRETIONARY AUTHORITY; AY NOT ACT AS FB UNLESS SUBJECT TO SPONSOR CERTIFICATION; MAY NOT SERVE ON ANY SRO DISCIPLINARY COMMITTEE.
SANTORO, JOSEPH A.	90-10	CFTC	04/24/90	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; NOT TO APPLY FOR REGISTRATION AS A FLOOR BOKER FOR 3 MONTHS AND TO WITHDRAW ANY PENDING APPLICATION.
SARABASA, KATHRYN	97-8	CFTC	05/20/97	4g		COMPLAINT FILED	
SARATOGA FUTURES, INC.	85-45	CFTC	09/27/85	4d(1) 4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
SARMAD, SYED	84-39	CFTC	05/06/85	4k 6(b)	3.12(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 120 MOO.; REG. DENIED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
SARMIENTO, HENRY	78-18	CFTC	04/04/83	4c(b)	32.3 32.5 32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
SARNOFF, PAUL	88-32	CFTC	06/20/89	4b(A) 4b(B) 4c(b) 4g(1)	1.35(a-1) 33.10(a) 33.10(b) 166.2		PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; NEVER TO APPLY FOR REGISTRATION.
SASIN, ROMAN	84-20	CFTC	07/29/84	4c(a)(A) 4f 4i 6(b)	1.14(b) 1.38 3.31(b) 18.04(e)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
SAUL STONE & COMPANY	86-5	CFTC	02/11/86	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
SAVAGE, JACK W.	76-1	CFTC	03/01/76				REG. DENIED AS CTA.
SAVAGE, JACK W.	76-20	CFTC	11/26/80	4m			TRAD. PRIV. SUSP. 120 MO.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o			
SAVAGE, JACK W.	76-2095R	CD CA	05/06/77	4b 4c		PERMANENT INJUNCTION	
SAVAGE, JACK WESLEY	80-3952	SD NY	10/22/80	4d(2) 4f(1) 4f(2) 4k 4b	1.10(a) 1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS.
SAVICZ, JERRY L.	88-18	CFTC	04/01/92	4b(A) 6(b)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS AP.
SAVILLE, HERSCHELL	78-31	CFTC	05/25/79				CONSOLIDATED WITH 78-55.
SAVILLE, HERSCHELL	78-55	CFTC	05/25/79	4b 4c(b) 4g 4o	32.5(a) 32.5(c) 32.7 32.8 32.9 1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; REG. REVOKED AS AP.
SAVILLE, HERSCHELL	78-8293	SD FL	06/05/79	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
SAWYER, STEVEN J.	78-1335	SD FL	04/20/79	4c(b)	1.31 32.6 32.7	PERMANENT INJUNCTION	
SAWYER, STEVEN J.	79-1406	SD FL	05/20/84	4c(b) 4c(c)	32.11 32.9 32.3	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
SAWYER, STEVEN J.	79-37	CFTC	05/22/85	4(b)	1.31 32.6 32.7		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; REG. REVOKED AS AP.
SAWYER, STEVEN J.	83-18	CFTC	03/28/89	4b(A) 4o(1)	4.21(a) 4.21(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
SAXENA, SANJAY	SD-96-11	CFTC	02/07/97				REG. REVOKED AS AP.
SAXON AND WINDSOR GROUP, LTD.	79-1580	ED NY	07/13/81	4c(b) 4c(c) 4d(2) 4f(2)	32.11 1.17(a) 1.20(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
SBARBATI, VINCENT J.	77-7	CFTC	06/21/78				REG. DENIED AS AP.
SCHAEFER, EUGENE E. JR.	76-5	CFTC	07/14/76				REG. DENIED AS AP.
SCHAER, J. BRIAN	95-1	CFTC	03/04/98	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; THE TRADING PROHIBITION AND CIVIL PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM THE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							DATE OF ORDER; ON APPEAL.
SCHAFER, CHRISTOPHER C.	1:98-CV-1594	ND GA	06/24/98	4b(a)(ii) 4d(1) 4d(2)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM ACTING AS AN FCM, CPO, CTA, IB , FB , FT OR AP OF ANY REGISTRANT; ENJOINED FROM SEEKING REGISTRATION WITH THE COMMISSION IN ANY CAPACITY AT ANY TIME IN THE FUTURE; SCHAFER SHALL MAKE RESTITUTION IN THE AMOUNT OF \$249,785; ENJOINED FROM ACTING AS AN FCM, CPO, CTA, IB, FB, FT OR AP OF ANY REGISTRANT.
SCHAFER, CHRISTOPHER C.	H-96-1213	SD TX	06/08/98	4b(a)(ii) 4o(1) 4n(4) 4d(1) 4d(2)	4.20(b) 4.20(c) 4.13(b)(1) 4.13(b)(2) 4.30	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT OR SEEKING REGISTRATION WITH COMMISSION; SCHAFER SHALL MAKE RESTITUTION IN THE AMOUNT OF \$109,300.
SCHECK, DANNY LYLE	92-11	CFTC	06/04/97				TRAD. PRIV. SUSP. 60 MO.; REG. DENIED AS CTA.
SCHECK, DANNY LYLE	SD-93-13	CFTC	06/04/97				TRAD. PRIV. SUSP. 60 MO.; REG. DENIED AS XXX.
SCHENK, JOHN LARRY d/b/a LINZ GRUPPE, INC. & SYSTRAC, INC.	2:98CV00216J	C.D. UTAH	5/22/00	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$175,687; CIVIL MONETARY PENALTY OF \$175,687; RESTITUTION OF \$360,016.35 PLUS PREJUDGEMENT INTEREST OF \$89,862.50 AND POST JUDGEMENT INTEREST JOINTLY & SEVERALLY OWED WITH GRAY; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AS A FCM, CPO, CTA, IB, FB, FT OR AP.
SCHENK, JOHN STEVEN	2:98CV00216J	CD UT	07/14/98	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; PROHIBITED FROM TRADING FOR OTHERS AND ENJOINED FROM VIOLATING 10(b) OF SEA.
SCHENK, MARK	2:98CV00216J	CD UT	07/14/98	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; ENJOINED FROM SEEKING REG. WITH THE COMMISSION IN ANY CAPACITY UNDER THE CEA; ENJOINED FROM VIOLATING 10(b) OF THE SEA; PROHIBITED FROM TRADING FOR OTHERS.
SCHENKER, CURTIS	93-1	CFTC	09/28/93	4c(a)(A) 4c(a)(B)	1.31(a) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
SCHEUER, DANIEL J.	84-3920KH	CD CA	06/18/84	4d(2) 4f(2) 4g(1)	1.35(a) 1.18(b) 1.23 1.31 1.32 1.20(a) 1.17(a) 1.18(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; NOT TO APPLY FOR REGISTRATION OR AFFILIATE WITH A REGISTRANT FOR 10 YEARS.
SCHIERL, R. GARY	87-18	CFTC	07/07/88	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$45,000; TRADING PRIVILEGES REVOKED.
SCHILLACI, ROBERT L.	SD-89-1	CFTC	05/04/89				REG. REVOKED AS FB.
SCHILLACI, ROBERT L.	SD-95-3	CFTC	07/11/96				FT DENIED.
SCHILLER, HARVEY	81-2	CFTC	12/17/80	4c(a)(A) 4c(a)(C) 4b(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; SUSP. AS FB 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR ONE YEAR.
SCHILLER, RONALD M.	96-4	CFTC	04/18/96	4b(a)(i) 4b(a)(iv) 4g(a)	1.38(a) 1.35(d)	COMPLAINT FILED	
SCHLECHT, ARTHUR J.	93-1567	SD FL	07/19/96	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; THE GARDEN CITY GROUP APPOINTED AS DISBURSEMENT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AGENT; PAY \$1,500,000 JOINTLY W/ AJS TO GARDEN CITY GROUP FOR PAYMENT TO CUSTOMERS; COOP. W/ COMMISSION & GARDEN CITY GROUP; COMPLY W/ UNDERTAKINGS RE: FUTURE ACTIVITIES.
SCHLEICHER, DON R.	80-2639	D DC	10/16/80	4b(A) 4o(1) 4c(b) 4c(c)	1.19 32.9 31.03	PERMANENT INJUNCTION	
SCHLEICHER, DONALD R.	76-4051-M	D MA	11/11/76	4c(b) 4d(2) 4f(2) 4g(1) 4o(1)	30.-01 1.17 1.20 1.31 1.32 1.33	PERMANENT INJUNCTION	
SCHLEICHER, DONALD R.	79-28	CFTC	10/15/80	4c(b) 4c(c) 4b 4o(1)	1.19 32.3(b) 32.5(a) 32.6(a) 32.7(e) 32.9 32.11 32.5(c) 32.5(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000.
SCHLEICHER, DONALD R.	86-6	CFTC	07/26/89	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000 JOINTLY OWED; REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION, ACT IN THE CAPACITY OF ANY REGISTRANT, OR BE AN OFFICER, DIRECTOR, OR EMPLOYEE OF A REGISTRANT.
SCHLEICHER, RICHARD	80-2639	D DC	10/16/80	4b(A) 4o(1) 4c(b) 4c(c)	1.19 32.9 31.03	PERMANENT INJUNCTION	
SCHLEICHER, RICHARD A.	79-28	CFTC	10/15/80	4c(b) 4c(c) 4b 4o(1)	1.19 32.3(b) 32.5(a) 32.6(a) 32.7(e) 32.9 32.11 32.5(c) 32.5(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SCHLEICHER, RICHARD A.	86-6	CFTC	07/26/89	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000 JOINTLY OWED; REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION, ACT IN THE CAPACITY OF ANY REGISTRANT, OR BE AN OFFICER, DIRECTOR, OR EMPLOYEE OF A REGISTRANT.
SCHLEICHER, RICHARD ALAN	76-4051-M	D MA	11/11/76	4c(b) 4d(2) 4f(2) 4g(1) 4o(1)	30.01 1.17 1.20 1.31 1.32 1.33	PERMANENT INJUNCTION	
SCHLOSSMACHER, SHAUN	98-CIV-1682	SD NY	10/10/98				COMMISSION MOTION FOR SUMMARY JUDGMENT GRANTED; FINAL JUDGMENT AND ORDER; CIVIL MONETARY PENALTY OF \$316,082.58; RESTITUTION OF \$1,094,000.
SCHMUCKLER, JOSEPH R.	88-6	CFTC	11/28/89	4b(D) 4c(a)(A) 4c(a)(B) 4g	1.35(a-1) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS AP 1 MO. OR LESS.
SCHNEIDER, MICHAEL	80-0689	SD NY	07/22/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SCHNEIDER, RALPH	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
SCHNEIDER, RICHARD	78-1069	SD FL	04/27/78	4c(b) 4o(1)	32.9 32.5(a) 32.5(c) 32.8(a)	PERMANENT INJUNCTION	
SCHNEIDER, SHELDON H.	91-9	CFTC	02/13/97	4b(A) 4b(B) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
SCHNEIDER, SHELDON H.	SD-93-12	CFTC	12/14/93				FT APPLICATION TO BE WITHDRAWN
SCHOEMMELL, RONALD J.	00-10	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SCHOLDAN, EDWARD	91-181-HDM	D NV	03/13/93	4b(A) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$91,474.71; CONTRACTS RESCINDED.
SCHONDORF, JEFFREY	93-6	CFTC	02/15/94	4b(a)(i) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B) 4g(a)	1.31(a) 1.35(a-1) 1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. AMT.: \$100,000; TRAD. PRIV. SUSP. 1-2 MO.; REG. REVOKED AS FB; AFTER TERMINATION OF SUSPENSION, FT REGISTRATION SUBJECT TO CERTAIN CONDITIONS FOR 2 YEARS; NEVER SEEK OR ACT IN CAPACITY REQUIRING FB REGISTRATION; COOPERATE WITH THE COMMISSION RE: THIS CASE.
SCHREIBER, CLAUS-PETER F.	78-8	CFTC	03/17/81				REG. DENIED AS AP.
SCHREIBER, CLAUS-PETER FRIEDRICH	SD-95-25	CFTC	09/26/95				FT CONDITIONAL REGISTRATION FOR 2 YEARS.
SCHRIEBER, NORMAN	78-18	CFTC	04/04/83	4c(b)	32.3 32.5 32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. DENIED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
SCHROEDER, BRUCE L.	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
SCHROEDER, EDWARD W.	96-4563	CD CAL	08/19/97 11/10/97	4b(a) 4o 4o(1)(B) 4m 4k(2)	4.20(a) 4.20(b) 4.20(c) 4.21 4.41(a)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; COSTS AWARDED; RECEIVER APPOINTED.
SCHROEDER, JAMES H.	84-4301	SD KS	05/16/86	4m 4o(1) 4b(A) 4b(B) 4n(4) 4n(3)(B) 4n(3)(A) 4n(3)	4.20(c) 4.22 4.21(a) 4.21(b) 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
SCHUBERT, ROBERT H.	87-16	CFTC	09/22/87	4b(A) 4o(1)	4.13(b)(1) 4.13(b)(2)(i)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 60 MO.; SUSP. AS AP 6 MO.
SCHULMAN TRADING	85-34	CFTC	04/29/86		21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
SCHULZ, HANS J.	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
SCHULZE, RICHARD	85-1	CFTC	04/23/85	4o(1)	4.41(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000 JOINTLY OWED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SCHULZE, RICHARD	92-041-LDG	D NV	08/03/93	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; DISGORGEMENT OF AT LEAST \$804,214 WITHIN 90 DAYS.
SCHWARTZ, LARRY	85-6704	SD FL	09/17/85	4(a)		PERMANENT INJUNCTION	DISGORGMENT; ACCOUNTING ORDERED.
SCHWARTZ, MARK S.	88-26	CFTC	05/23/90	4b(A) 4k(2) 4n(3) 4n(4) 4o(1)	4.22 4.23		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NEVER TO APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
SCHWARZ, THOMAS M.	89-5	CFTC	10/19/90				APPEALED.
SCIEPKO, RONALD S.	87-3	CFTC	12/17/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
SCOFIELD, CHARLES	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
SCOTT, CHARLES DENNIS	88-13	CFTC	03/22/88	4b(A) 4g(1)	1.31(a)(1) 1.35(a) 1.35(a-1)(1) 1.35(a-1)(2)		PEN. AMNT.: \$40,000; TRADING PRIVILEGES REVOKED; SUSP. AS AP 1 MO. OR LESS; TO PROPERLY PREPARE AND EXECUTE EVERY ORDER; TO MAINTAIN RECORDS FOR 5 YEARS; TO DEAL ONLY WITH PROFESSIONAL TRADERS.
SCUDIERO, ANDREW	97-5	CFTC	01/12/99	4(a) 4b(a)(i) 4b(a)(iv) 4d(1) 4d(2) 4o(1) 4k(1) 9(a)(1)	3.10 3.12		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; APPEALED; COMMISSION AFFIRMS THE RESULT OF THE INITIAL DECISION WITHOUT OPINION, 1/12/99.
SEAY, DAVID L.	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; TO PAY TOTAL OF \$15,000 INTO ACCOUNT FOR BENEFIT OF CUSTOMERS.
SECURITIES AND COMMODITIES CORPORATION	89-26	CFTC	06/25/91	4b(A) 4n(1) 4n(3) 4n(4) 4o(1) 6(b)	4.20(a)(1) 4.20(c) 4.21(a) 4.22(a) 4.22(c) 4.22(d) 4.23(a) 4.23(b)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION OR EXEMPTION FROM REGISTERING WITH COMMISSION IN ANY CAPACITY OR ENGAGE IN ACTIVITIES WHICH REQUIRES

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					4.41(b) 3.14(a)		REGISTRATION OR EXEMPTION.
SEGAL, GEORGE I.	89-27	CFTC	01/16/92	4c(a)(A)	4c(a)(B) 4a(5) 4i 6(b)	1.38 18.04 18.04(d)	CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 4 MO.; MAY HOLD SHORT PORK BELLY FUTURES AS HEDGE; MUST LIQUIDATE ALL OTHER POSITIONS; MUST FILE WEEKLY CASH POSITION REPORTS WITH THE COMMISSION WHILE TRADING BAN IS IN EFFECT.
SEIDENTOP, AL	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SEIFER, GERALD	78-31	CFTC	05/25/79				CONSOLIDATED WITH DOCKET 78-55.
SEIFER, GERALD	78-55	CFTC	05/25/79	4b 4c(b) 4g 4o	32.5(a) 32.5(c) 32.7 32.8 32.9 1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; REG. REVOKED AS AP; MAY REAPPLY FOR REGISTRATION IN 1 YEAR.
SEIFER, GERALD	78-8293	SD FL	06/05/79	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
SEIGEL, HAROLD EDWARD	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$37,500P; SUSP. AS AP 1-2 MO.; CIVIL MONETARY PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWED FUNDS EXCEED CUSTOMER CLAIMS.
SELECT SECTOR RESEARCH & MANAGEMENT INC.	SD-96-11	CFTC	02/07/97	8a(2)(H)			REG. REVOKED AS CTA & CPO.
SELECTIVE FUTURES MANAGEMENT, LLC	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
SEMEL & CO.	91-7	CFTC	07/21/92	4b(A) 4b(B) 4b(C)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; MUST LIQUIDATE ALL POSITIONS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(D) 4c(a)(A) 4c(a)(B)			BEFORE COMMENCEMENT OF TRADING BAN; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
SEMEL, PRESTON	80-32	CFTC	09/06/85	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
SEMEL, PRESTON	91-7	CFTC	07/21/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN; AFTER BAN, MAY PLACE TRADES FOR SELF, WIFE AND CHILDREN ONLY; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT APPEAR ON TRADING FLOOR.
SEMEL, PRESTON H.	SD-90-2	CFTC	02/09/90				SUSP. AS FB 90 MO.
SERFLING & ASSOCIATES, INC.	90-24	CFTC	01/31/91	4b(A) 4b(B) 4k92) 4n(3)(A) 4n(4) 4o(1) 6(b) 9(a)	1.31 4.20(a) 4.20(b) 4.23 4.41(b) 4.20(c) 4.21 4.22 4.31		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRADING PRIVILEGES REVOKED.
SERFLING, SCOTT R.	90-24	CFTC	01/31/91	4b(A) 4k(2) 4n(3)(A) 4o(1) 9(a) 4b(B) 4k(3) 4n(4) 6(b)	1.31 3.11 3.12 3.13 3.14 3.16 4.20(a) 4.21 4.21(g) 4.22 4.22(c) 4.23 4.31 4.31(f) 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRADING PRIVILEGES REVOKED.
SERHANT, ROBERT B.	82-C-5851	ND IL	01/17/86	4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS STOP CUSTOMER SOLICITATION;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADING PROHIBITION.
SETO, ROBERT G.	91-7	CFTC	08/27/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MUST LIQUIDATE ALL POSITIONS PRIOR TO COMMENCEMENT OF TRADING BAN; MAY NOT SEEK REGISTRATION WITH THE COMMISSION FOR 5 YEARS; AFTER 5 YEARS, MAY APPLY TO REGISTER AS FLOOR BROKER OR CONDITIONALLY AS AN ASSOCIATED PERSON.
SHACKETT, ALLEN J.	78-39	CFTC	08/02/78	6(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
SHANER TRADING PARTNERS	SD-97-8	CFTC				COMPLAINT FILED	
SHANER TRADING PARTNERS, INC.	4-96-70005	A	07/31/97	4b(a)(1) 4o(1) 9(a)(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER CEA.
SHANER, JANE F.	4-96-70005	A	07/31/97			PERMANENT INJUNCTION	CONSENTS TO ENTRY OF CONSENT ORDER OF PERMANENT INJUNCTION.
SHANER, MARK STEPHEN	4-96-70005	A	07/31/97	4b(a)(1) 4o(1) 9(a)(1)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER CEA.
SHANER, MARK STEPHEN	SD-97-8	CFTC				COMPLAINT FILED	
SHAREEF, ALI Q.	79-1580	ED NY	07/31/81	4c(b) 4c(c) 4d(2) 4f(2)	32.11 1.17(a) 1.20(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
SHARP III, EDGAR CLIFFORD	SD-96-5	CFTC	03/19/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS.
SHARP, THOMAS ROBERT	88-6958	SD FL	11/30/89	4c(b)	33.7(f) 33.10 166.2 33.7(d) 166.3	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; NOT TO ACT AS OFFICER OR EMPLOYEE OF, BE ASSOCIATED WITH, OR RECEIVE COMPENSATION FROM, ANY REGISTRANT.
SHATKIN TRADING COMPANY	85-46	CFTC	02/21/86	4c(a)(A) 4g 6(b)	1.33(a)(1) 1.35(a) 1.37(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.46(a) 17.00(a)		PROGRAM.
SHATKIN, HENRY S.	85-46	CFTC	02/21/86	4c(a)(A) 4c(a)(B) 4e 4g 4i 6(b)	1.33(a)(1) 1.3&9a 1.38(a) 1.46(a) 17.00(a) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 3 MO.
SHATNER, DONALD G.	85-30	CFTC	03/28/86	4b(A) 4b(B) 4b(C) 4b(D) 6(b) 9(a)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
SHAW, KENNETH	83-1591EBD	SD FL	02/07/86	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
SHAW, RICHARD M.	82-0305	D MA	05/21/85	4o(1) 4b(A)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT.
SHB COMMODITIES, INC.	92-21	CFTC	02/25/98	4b(A) 4b(D) 4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(a-1) 166.3 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; REG. REVOKED AS FCM; ON APPEAL.
SHEARSON HAYDEN STONE, INC.	78-11	CFTC	03/19/81	4d(2) 4g(1) 4i	1.20(a) 1.22 1.23 1.32 1.21.01 1.46(a) 1.46(b) 17.00 18.00		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.
SHEARSON LEHMAN BROTHERS, INC.	85-49	CFTC	09/30/85	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$90,000; TO COMPLY WITH UNDERTAKINGS AS SET FORTH IN ORDER.
SHEARSON LEHMAN BROTHERS, INC.	90-30	CFTC	09/25/90	4g 4c(a) 4a(5)	17.00 17.01 1.35(a-1)(ii) 166.3		PEN. AMNT.: \$220,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
SHEEHAN, MICHAEL F.	78-26	CFTC	11/07/78	6(c)			CEASE & DESIST ORDER; REG. DENIED AS AP.
SHEFLER, DONALD N.	92-041-LDG	D NV	02/03/94	4(a) 4b		PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SHELDON, EDWIN JAY	1:99-CV-138	E.D TN.	9/15/00	4b(a)(i) 4b(a)(ii) 4o(1) 4k(2) 4n 9(a)(3)	4.21 4.22	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; JOINT OWED RESTITUTION OF \$334,167 PLUS PRE-JUDGEMENT INTEREST OF \$36,636 W/ CO-DEFENDANT APPLIED CAPITAL MANAGEMENT, LLC; PREVIOUS ORDERS AS TO SHELDON SHALL EXPIRE UPON THE ENTRY OF THIS ORDER.
SHELLCLASS LIMITED, INC.	85-6936	SD FL	01/24/86	4c(c)	33.9(c) 33.9(e)	PERMANENT INJUNCTION	PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.
SHELTON, HOPE S.	88-23	CFTC	07/14/92	4c(b)	33.7(d) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; REG. REVOKED AS AP.
SHERGIN, WALTER	78-48	CFTC	01/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; REG. REVOKED AS AP.
SHETH, HASIT JAMES	78-1604CSH	SD NY	12/07/78	4f 4g 6(b)	1.10 1.17 1.18	PERMANENT INJUNCTION	
SHOBER, PEMBERTON H.	89-5	CFTC	10/19/90				APPEALED.
SHORE, LON W.	78-38	CFTC	10/23/78				REG. DENIED AS AP.
SHUMSKI, THOMAS REILEY	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	DISGORGEMENT.
SHUN PUN LIMITED	93-5598	SD NY	09/05/95	4b(a)(i) 4o(1)(A) 4o(1)(B) 9(a) 4d(1) 4c(b)	33.7 33.10 3.4	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.
SHUNG, LEUNG KA	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
SHUSTER, MICHAEL D.	82-36	CFTC	06/10/83				REG. DENIED AS AP.
SHYNOVICK, JOHNNY E.	92-422-ECR	D NV	03/12/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; BERT GOLDWATER IS RECEIVER; ALL CONTRACTS RESCINDED.
SICINSKI, HENRY S.	82-60115	ED MI	04/19/82 06/06/82	4b 4o 4n(3)		RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(4)			TRADING PROHIBITION; ACCOUNTING ORDERED; DECEASED; VIOLATIONS SUBSEQUENTLY FOUND AND ESTATE ORDERED TO MAKE DISGORGEMENT.
SIDEL, MICHAEL	93-13	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO ACT AS FB FOR 6 MONTHS.
SIDEREAL CORPORATION	83-CV-1885	ED MI	07/06/85	4o(1) 4d 4n(3) 4b	4.21(a) 4.41(b) 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
SIDOTI, A FRANCIS	92-6832	L	09/29/97	4f 6(c) 8a(1)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; RECEIVER APPOINTED.
SIEBENMANN, WERNER E.R.	90-23	CFTC	09/11/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$160,000 JOINTLY OWED; NOT TO SEEK REGISTRATION IN ANY CAPACITY FOR 20 DAYS.
SIEGEL TRADING CO.	89-5364JMI	CD CA	05/08/91	4c(b) 4g	33.7(f) 33.10 33.7(d) 1.35(a-1)(1) 1.31 1.35(a) 166.3	PERMANENT INJUNCTION	EAJA DISMISSED WITH PREJUDICE; MUST INSTALL SYSTEM TO TAPE TELEPHONE SOLICITATIONS WITHIN 90 DAYS; MUST TAPE RECORD ALL TELEPHONE SOLICITATIONS AND PRESERVE TAPES FOR 30 MONTHS; MUST PROVIDE ALL EMPLOYEES WITH COPY OF ORDER AND REQUIRE EXECUTION OF AFFIDAVIT ACKNOWLEDGING RECEIPT.
SIEGEL TRADING COMPANY	91-6	CFTC	05/10/91	4c(b) 4g	1.31 1.35(a) 1.35(a-1)(1) 33.7(d) 33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$350,000; MUST INSTALL SYSTEM TO TAPE ALL TELEPHONE SOLICITATIONS; MUST TAPE RECORD ALL TELEPHONE SOLICITATIONS AND PRESERVE TAPES FOR 30 MONTHS; MUST PROVIDE ALL

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							EMPLOYEES WITH COPY OF THE ORDER IN CFTC VS SIEGEL TRADING CO. (89-5364JMI) AND REQUIRE EXECUTION OF AFFIDAVIT ACKNOWLEDGING RECEIPT.
SIEGEL TRADING COMPANY, INC.	77-1	CFTC	10/29/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$62,500.
SIEGEL, DAVID H.	78-6508	SD FL	06/28/79			ORDER	
SIEGEL, JOSEPH E.	77-1	CFTC	09/11/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 3 MO.; REG. REVOKED AS FB; SUSP. AS FB 120 MO.
SIGLER, DAVID	80-20	CFTC	10/28/85	4k			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. DENIED AS AP.
SIGLER, MITCHELL JAY	86-33	CFTC	01/08/91	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$84,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; ALJ ORDER AFFIRMED BY COMMISSION ON 1/8/91.
SIGMA, INC.	95-1598	D. NJ	2/29/00	4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	FINAL JUDGEMENT	RESTITUTION OF \$30,000,000 PLUS PRE & POST JUDGEMENT INTEREST. CIVIL MONETARY PENALTY OF \$90,000,000.
SILBERT, STEVEN	78-1822A	ND GA	11/17/78	4c(b)	32.6 32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SILBERT, STEVEN	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SILVERMAN, JEFFREY L.	75-6	CFTC	05/05/76	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; AFFIRMED ON APPEAL BY 7TH CIR.
SILVERMAN, JEFFREY L.	76-18	CFTC	03/14/77				REG. REVOKED AS AP; AFFIRMED ON APPEAL BY 7TH CIR.
SILVERS, MEL	92-6427	SD FL	11/17/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a)	PERMANENT INJUNCTION	
SILVERS, MEL	94-9	CFTC	12/09/93	4b(a) 4c(b) 4o 4b(a)	4.31(g) 4.41(a) 33.7(f) 33.10		CEASE & DESIST ORDER; REG. REVOKED AS AP; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SILVERSTEIN, WILLIAM D.	89-3	CFTC	11/10/88	4c(b) 4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
SIMPLOT INDUSTRIES INC.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 72 MO.
SIMPLOT, JOHN R.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 72 MO.
SIMPLOT, JOHN R.	78-25	CFTC	03/07/78				CONSOLIDATED WITH 77-13.
SIMTAG FARMS	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV. SUSP. 48 MO.
SINCLAIR, GARY M.	86-5	CFTC	02/11/86	4b	166.3		CEASE & DESIST ORDER.
SINGER, MARK LEE	97-4	CFTC	2/17/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS AP REVOKED; JOINTLY & SEVERALLY OWE RESTITUTION OF \$8,613,570.44 WITH LUGER; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
SINGER, MICHAEL	98-CIV-1365	SD NY	03/03/98	4(a) 4b		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
SINGER, MICHAEL E.	83-15	CFTC	02/15/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
SINGER, MICHAEL E.	93-2	CFTC	08/23/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; SINGER SHALL LIQUIDATE ALL FUTURES & OPTIONS BEFORE THE COMMENCEMENT & DENIED OF TRADING PRIVILEGES; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH COMMISSION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION OR EXEMPTION

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FROM REGISTRATION WITH THE COMMISSION.
SION, JONATHAN A.	95-1	CFTC	03/04/98	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 TRAD. PRIV. SUSP. 6 MO.; THE TRADING PROHIBITION AND CIVIL PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM THE DATE OF THE ORDER; ON APPEAL.
SITZMANN COMMODITIES, INC.	96-5	CFTC	02/26/97		1.37		CEASE & DESIST ORDER; REG. REVOKED AS IB.
SITZMANN, DAVID E.	96-5	CFTC	02/26/97	4b(a)(i) 4b (a)(iii) 6(c)	18.04(a) 1.37		CEASE & DESIST ORDER; REG. REVOKED AS AP; PERMANENTLY PROHIBITED FROM TRADING.
SITZMANN, MARK J.	96-5	CFTC	02/26/97	4b(a)(i) 4b(a)(iii) 4i	18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; COMPLY WITH UNDERTAKINGS; NOT APPLY FOR REG. WITH THE COMMISSION IN ANY CAPACITY; PAY RESTITUTION TO MONFORT OF \$50,000.
SKOR, ROBERT B.	84-47	CFTC	07/01/85	4f 6(b)	1.14(b) 3.31(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
SKORUPSKAS, BARBARA A.	83-CV-1885	ED MI	10/14/84 03/20/85 07/06/85	4o(1) 4d 4n(3) 4b	4.21(a) 4.41(b) 1.31 4.23	PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
SKRODZKI, DAVID JOHN	89-17	CFTC	08/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; AT EXPIRATION OF TRADING SUSPENSION, NOT TO TRADE FOR OTHERS AND NOT TO EXECUTE TRADES FOR SELF; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON THE FLOOR DURING TRADING HOURS; NEVER TO APPLY FOR REGISTRATION; TO MAKE FULL RESTITUTION TO CUSTOMERS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SKRYPKUN, TERENCE E.	77-21	CFTC	03/23/80	4b 13(a)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 15 MO.
SLAVICEK, WILLIAM A.	83-C-4994	ND IL	12/09/83	4b(B) 4b(D) 4d(10) 4d(2)	166.2 1.20(a)	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
SLEDD, DANIEL	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
SLEDD, J. DANIEL	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SLEDZ, BRIAN E.	89-18	CFTC	08/02/89	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; AT EXPIRATION OF TRADING SUSPENSION, NOT TO TRADE FOR OTHERS AND NOT TO EXECUTE ORDERS FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
SLEDZ, JAMES G.	89-19	CFTC	09/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; AT EXPIRATION OF TRADING SUSPENSION, NOT TO TRADE FOR OTHERS AND NOT TO EXECUTE TRADES FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NEVER TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION.
SLONE, HAROLD G.	81-2250-W	WD TN	09/11/85	4b(A) 4b(C) 4o(1) 4		PERMANENT INJUNCTION	
SLUSSER, JERRY W.	94-14	CFTC	08/19/99				PETITION TO STAY THE EXECUTION OF CIVIL MONETARY PENALTY SANCTIONS IMPOSED IN 7/19/99 ORDER, AFFIRMING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ALJ'S INITIAL DECISION IS DENIED.
SMALL, LEANDER M.	78-43	CFTC	08/03/78				REG. REVOKED AS AP.
SMITH, ART	SACV00940	CD CAL.	9/26/00	4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
SMITH, DAVID LEE	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
SMITH, GARY A. (REV.)	94-661-CIV	MD FL	07/08/96	4b(a)(i) 4o(1) 4k(2)		ORDER	DISGORGEMENT; AMENDED COMPLAINT 7/3/95; DISGORGEMENT OF \$368,339.00 PLUS INTEREST OF \$73,148.28 BY ORDER DATED 8/23/96.
SMITH, GEORGE COLE	92-00216	D HA	07/12/93	4b(a)(i) 4b(a)(ii) 4o(1)(B) 4m(1) 4n(3)(A) 4n(4)	1.31 4.23 4.20 4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; GCS TO PAY \$1,180,000 TO RECEIVER; ENJOINED FROM ACTING AS FCM, IB, FB, CTA, CPO OR AP; SOLICITING OR ACCEPTING CUSTOMER FUNDS.
SMITH, JEFFREY A.	C2-94-981	SD OH	01/27/98	4b(a)(i) 4b(a)(ii) 4o(1) 4n(3)(A)	4.20(c) 4.23	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; APPEALED; TO PAY \$35,195.91 TO COURT APPOINTED ADMINISTRATOR; NOT TO SEEK OR BECOME REG. WITH THE CFTC; NOT TO ACT AS A CPO, CTA, AND OR SECURITIES DEALER.
SMITH, MICHAEL D.	93-9	CFTC	04/10/97				TRADING PRIVILEGES REVOKED.
SMITH, MONA L.	3:98CV0281AS	ND IN	12/08/99	4b(a)(i) 4o(1) 4b(a)(ii) 4m(1)	4.20	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA; FIELD & SMITH DISGORGEMENT OF \$880,811.00; SMITH DISGORGEMENT OF \$146,154.00; DEFENDANTS MAKE RESTITUTION OF \$1,026,965.15.
SMITH, PHILIP M.	80-3103	SD NY	07/29/81	4d(2) 4f(2) 4g 4i	1.20(a) 1.17(a) 1.31 1.35	PERMANENT INJUNCTION	
SMITH, PHILIP M.	80-4399	SD NY	07/29/81				CONSOLIDATED WITH 80-3103

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							(S.D.N.Y. 1980)
SMITH, PHILIP M.	81-18	CFTC	11/14/85	4b 4o	4.21		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; APPEAL WITHDRAWN 4/4/86.
SMITH, PHILIP M.	82-20	CFTC	12/30/91	4(k)(1) 4f(1) 4d(2) 4g(1) 4f(2) 4i 6(b)	1.10 1.12 1.17 1.20 1.21.01 1.22 1.23 1.25 1.27 1.28 1.31 1.35 1.37 15.01(b) 17.00(a) 17.01		CEASE & DESIST ORDER; PEN. AMNT.: \$105,000; TRAD. PRIV. SUSP. 24 MO.
SMITHERS, CHRISTOPHER	00-08880 CIV-ZLOCH	S.D. FL.	12/4/00	4c(b)	33.10	TERMPORARY RESTRAINING ORDER	10/30/00 STATUTORY RESTRAINING ORDER IS VACATED.
SMYTHE-WHEATLEY, LTD.	84-243PHX	D AZ	12/15/87	19	31.1 31.2 31.3	PERMANENT INJUNCTION	COSTS AWARDED; ALSO ENJOINED FROM VIOLATING ARIZONA CONSUMER FRAUD ACT; TO PAY TO ARIZONA ATTY. GENERAL \$3,750,000 PENALTY AND \$60,000 COSTS.
SO, IVAN	94-0220-C	ND CA	01/21/94	4(a)		COMPLAINT FILED	
SOBOL, LAWRENCE D.	85-21	CFTC	11/27/85	4k	3.12		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
SOCHA, RICHARD S.	83-40	CFTC	09/21/83	4o(1)(B) 4n(4)	4.22(a) 4.22(b) 4.22(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO, CTA & AP.
SOGEMIN METALS, INC.	00-04	CFTC	2/7/00	4b(a)(i) 4b(a)(ii)	166.3 30.9	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY AMOUNT \$500,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING REVISING INTERNAL PROCEDURES MANUAL & CREATING A COMPLIANCE MANUAL.
SOHN, CHARLES C.	94-0670	CD CAL	08/23/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DISGORGEMENT & RESTITUTION AMOUNT TO BE AGREED TO BY THE PARTIES.
SOKOLOFF, MARC	80-28	CFTC	03/27/86	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.
SOLER, OSCAR C.	83-31	CFTC	08/06/84	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$17,500.
SOLIMAN, NAGY	85-31	CFTC	01/22/88	4m 4o(1) 4b(A) 4n(3)(A)	4.41(a) 1.31 4.32 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
SOLOMON, MAYER	92-21	CFTC	02/25/98	4b(A) 4b(D) 4c(a)(A) 4c(a)(B) 4a(1)	1.31(a) 1.35(d) 1.35(a-1) 1.38(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; REG. REVOKED AS FB; ON APPEAL.
SOLTES, JOHN ZOLTAN	82-60115	ED MI	02/22/84	4b 4o(1) 4n(3)(A)	4.21(g)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; TO JOINTLY PAY TO RECEIVER \$184,508.
SONNENBERG, JAMES J.	SD-88-2	CFTC	05/17/88				REG. REVOKED AS FB.
SORKIN, HAROLD	82-8279	SD NY	08/31/83 04/19/85	4b(A) 4b(B) 4b(C) 4m 4n(3)(A) 4n(4) 4o(1)	1.31 4.22	PERMANENT INJUNCTION	DISGORGEMENT.
SORKIN, HAROLD	84-29	CFTC	08/21/84	4n(3)(A) 4n(4) 4b(C) 4m 4o(1) 4b(A) 4b(B)	1.31 4.22		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO REAPPLY FOR REGISTRATION.
SORKVIST, JOHN W.	92-19	CFTC	02/04/98	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; ON APPEAL.
SOROS, GEORGE	86-13	CFTC	03/03/86	4a(5)			CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SOULE, CHARLES B.	97-10	CFTC	06/24/97	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS AP 3 MO.; FOR 2 YEARS, AP & FB REGISTRATION'S ARE STRICTLY CONDITIONED; MAY NOT ACT AS AP UNLESS SUBJECT TO SUPPLEMENTAL SPONSOR CERTIFICATION; MUST BE "STRICTLY SUPERVISED" BY DESIGNATED SUPERVISOR; SEE ORDER FOR ADDITIONAL CONDITIONS ON REGISTRATION AS FB.
SOULE, STEVEN G.	99-4	CFTC	12/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii)		COMPLAINT FILED	
SOUTH AFRICAN CONTROLLED INVESTMENTS	89-1923PN	D MD	11/01/91	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ALL CONTRACTS ARE RESCINDED AND RESTITUTION MUST BE MADE TO CUSTOMERS.
SOUTHEASTERN VENTURE PARTNERS GROUP INC.	7-96-CV-61	MD GA	07/01/96 05/13/99	R		RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DEFAULT JUDGMENT; RESTITUTION OF \$2,948,831.40; CIVIL MONETARY PENALTY OF \$8,846,494.20 PLUS INTEREST JOINTLY & SEVERALLY OWED; PERMANENTLY ENJOINED FROM ACTING IN ANY CAPACITY UNDER THE ACT AND SEEKING REGISTRATION WITH COMMISSION; STOP CUSTOMER SOLICITATION.
SOUTHERN ADVERTISING & MARKETING, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SEEKING REGISTRATION WITH THE COMMISSION.
SOUTHERN STATES TRADING COMPANY, INC.	82-8212	SD NY	12/09/82	4d(2) 4f(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
SOUTHERN THUMB CO-OP	97-3	CFTC	10/7/99	4c(b)	32.2 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
SOUTHWEST RESEARCH ASSOCIATION, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
SPEAR, LEEDS & KELLOGG	93-25	CFTC	09/07/93	4b(a)(ii)	166.3		PEN. AMNT.: \$325,000.
SPECIALIZED COMMODITY TIMING, LLC	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
SPECK, PETER ALEXANDER	91-23591J	D SC	08/12/92	4m 9(a) 4o 4b 4c(b) 4n(3)(A)	4.13 4.41 33.10 4.20 4.21	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; MUST DISGORGE ALL BENEFITS, INCLUDING \$154,000 IN CUSTOMER FUNDS.
SPECTRA, LTD.	84-29	CFTC	10/05/84	4b(A) 4o(1) 4o(2)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
SPEIER, GARY	81-24	CFTC	08/07/81	4a(2)(B)	150.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
SPEIRS, JAMES T.	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECEIVER; ORDERED TO DISGORGE \$2,100,000; NOT TO ACT AS FCM, IB, FB, CTA, CPO, OR AP; NEVER APPLY FOR REGISTRATION IN ANY CAPACITY.
SPENTZOS, JAMES	94-13	CFTC	05/19/94	4c(a)(A)	1.38(a) 166.3	COMPLAINT FILED	
SPIEGEL, ROY D.	85-19	CFTC	01/12/88	4d(2) 4g(1) 4f(2)	1.20(a) 1.21 1.22 1.37 1.32 1.17(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$70,000; REG. REVOKED AS CTA, CPO & AP; COMMISSION AGREED TO ACCEPT \$20,000 IN SATISFACTION OF PENALTY ON 11/9/88 WHILE ON APPEAL TO 9 TH CIR.
SPINALE, ANTHONY	81-24	CFTC	08/07/81	4a(2)B) 4i 6(b)	150.10 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 24 MO.
SPINNER, DAVID H.	91-18	CFTC	07/09/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED AS AP; NEVER APPLY TO REGISTER OR ACT IN CAPACITY REQUIRING REGISTRATION.
SPINNER, STEVEN A.	91-18	CFTC	07/09/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; REG. REVOKED AS AP; NEVER APPLY TO REGISTER OR ACT IN CAPACITY REQUIRING REGISTRATION.
SPITZER, RALPH	79-42	CFTC	09/20/82	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 32.6 1.31(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
SPITZER, RALPH	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SS ASSOCIATES, A PARTNERSHIP	82-60115	ED MI	02/22/84	4b 4o(1) 4n(3)(A)	4.21(g)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; TO JOINTLY PAY TO RECEIVER \$184,508.
STABILE, JOSEPH M.	77-0929-CB	ED MO	09/12/77	4d 4f 4g	1.31 1.34 1.35 1.18 1.20 1.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
STABILE, JOSEPH M.	77-8	CFTC	08/31/81	4b 4c 4d 4f 4g			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; APPEAL DISMISSED 5/12/86.
STABILE, JOSEPH M.	81-1	CFTC	02/18/83	6(b)			REG. DENIED AS AP.
STAIN, ROBERT	86-36	CFTC	09/30/86	4g(1)	1.46(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
STANDARD CONTINENTAL, INC.	93-0067	CD CA	03/14/94	4(a)		PERMANENT INJUNCTION	
STANDARD FOREX, INC.	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
STANDARD FORSTEN CORP.	93-0067	CD CA	03/14/94	4(a)		PERMANENT INJUNCTION	
STANFORD MANAGEMENT CORPORATION	83-18	CFTC				COMPLAINT FILED	
STANLEY B. BELL & CO., INC.	90-29	CFTC	05/30/91	4b(A) 4b(B) 4b(C) 4(b)(D) 4c(a)(A) 4c(a)(B) 4g	1.31(a)(1) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRAD. PRIV. SUSP. 24 MO.; NEVER TO APPLY FOR REGISTRATION.
STARKE, BOB	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
STARR, JOE FRED	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
STARR, JOSEPH	84-1463	SD CA	09/03/85	19	31.1 31.24	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
STEIGERWALD, TONY W.	90-25	CFTC	12/17/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; MAY NOT APPLY TO REGISTER IN ANY CAPACITY.
STEIN, ALAN	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
STEIN, MURRAY L.	89-23	CFTC	12/10/96				PEN. AMNT.: \$500,000; APPEALED; MLS APPEALED TO 11 TH CIR. 12/96.
STEINBERG, ROBERT	80-835	D GA	09/14/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
STEINER, JOEL	77-2678EW	SD NY	06/22/77	4c(b) 4o(1)	30.01 32.8(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
STEINER, JOEL	79-1	CFTC	09/27/79				PEN. AMNT.: \$15,000; TO

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							JOINTLY PAY \$100,000 INTO ESCROW FOR CUSTOMERS; NOT TO APPLY FOR REGISTRATION FOR 8 YEARS.
STEINER, JOEL	88-6958	SD FL	10/11/89	4c(b) 6(b) 4f 4k	33.7(f) 166.2 33.7(d) 3.15 3.31 3.12(a) 166.3 33.10	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION NOT TO ACT AS OFFICER OR EMPLOYEE OF, BE ASSOCIATED WITH, OR RECEIVE COMPENSATION FROM, ANY REGISTRANT.
STEINER, JOEL	89-21	CFTC	09/13/89	4c(b) 4k	3.12(a) 33.7(d) 33.7(f) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION OR TO IN ANY WAY BE ASSOCIATED WITH OR COMPENSATED BY ANY REGISTRANT.
STEINER, LESLIE	88-6958	SD FL	10/11/89	4c(b) 6(b) 4f 4k	33.7(f) 33.10 166.2 33.7(d) 3.15 3.31 3.12(a) 166.3	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; NOT TO ACT AS OFFICER OR EMPLOYEE OF, BE ASSOCIATED WITH, OR RECEIVE COMPENSATION FROM ANY REGISTRANT.
STEINER, LESLIE	89-21	CFTC	09/13/89	4c(b) 4k	3.12(a) 33.7(d) 33.7(f) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION OR TO IN ANY WAY BE ASSOCIATED WITH OR COMPENSATED BY ANY REGISTRANT.
STEINERT, STEVEN I	84-30	CFTC	12/26/84	4b 4o(1)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
STEPHENS, DWIGHT H.	85-1555	ND CA	11/06/87	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TO PAY \$436,000 TO RECEIVER.
STEPHENS, WILLIAM M.	SD-00-04	CFTC	9/6/00	8a(11)		COMMISSION ORDER	AP REGISTRATION SUSPENDED UNTIL DISPOSITION OF CHARGES AGAINST HIM IN INDICTMENT OR UNTIL THE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSPENSION IS TERMINATED BEFORE DISPOSITION BY COMMISSION.
STERLING CAPITAL COMPANY	80-835	D GA	09/14/81	4c(c) 4c(b)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS.
STERLING INVESTMENT OF AMERICA (OREGON)	98-9	CFTC	06/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.
STERLING INVESTMENTS	98-9	CFTC	06/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.
STERLING INVESTMENTS OF AMERICA, INC. (FLA)	98-9	CFTC	06/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.
STERN, DAVID I.	80-29	CFTC	01/21/87	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
STEVENS, MARK G.	97 C 7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN, STEVENS, & MUNN JOINTLY & SEVERALLY OWE RESTITUTION OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
STEVENS, RAUL P.	SD-85-1	CFTC	11/22/85				REG. DENIED AS AP.
STEWART KERI L.	98-6564	S.D. FL.	11/24/99	4f(a) 4k(1) 4k(5)	3.10(a)(2)(i)	FINAL JUDGEMENT	CIVIL MONETARY PENALTY OF \$330,000; ENJOINED FROM VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
STEWART, MICHAEL	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMPLAINT FILED	
STOCHEL J. R. AND ASSOCIATES	81-631	ND IN	11/22/83	4m 4n(3)(A) 4n(1)	4.21(b) 4.22(c) 4.23 1.31(a)	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
STOCHEL, JAMES R.	81-631	ND IN	04/20/82 11/22/83	4m 4n(3)(A)	4.21(b) 4.22(c)	PERMANENT INJUNCTION	CITED FOR CIVIL CONTEMPT; DISGORGEMENT; FREEZE OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(1)	4.23 1.31(a)		ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
STOCKTON, JEROME	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	TO PAY \$1,000 TO RECEIVER.
STONE, DAVID	79-28	CFTC	10/15/80	4c(b)	32.3(b)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,500.
STONE, THOMAS H.	86-5	CFTC	02/11/86	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
STONE, LAURENCE O. JR.	84-16	CFTC	11/16/83	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
STOTLER AND COMPANY	80-7	CFTC	09/30/86	4b 4o 4k 4n 8a(3)	1.10(c) 1.10(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; COMMISSION ORDER AFFIRMED BY 7 TH CIRCUIT 8/25/88 (CCH 24,311).
STOTLER AND COMPANY	90-18	CFTC	08/21/90	4f(2)	1.10(d) 1.17(a) 1.17(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
STOTLER FUNDS, INC.	90-C4387	ND IL	10/15/91	4o(1)(B)	4.21(g)(2) 4.21(h)	PERMANENT INJUNCTION	PERMANENTLY PROHIBITED FROM SEEKING REGISTRATION IN ANY CAPACITY WITH THE CFTC.
STOUT, LAWRENCE WAYNE	81-4	CFTC	07/20/82	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
STOVALL AND STOVALL, INC.	75-7	CFTC	12/06/79				REG. REVOKED AS FCM.
STOVALL, RAWLIN L.	75-7	CFTC	12/06/79	4			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB.
STRATEGIC METALS INTERNATIONAL, INC.	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
STRATEGIC METALS INTERNATIONALE, INC.	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
STRAUSS, JOHN P.	86-6	CFTC	12/02/86	166.3			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; NOT TO APPLY FOR REGISTRATION OR ACT AS A PRINCIPAL FOR ONE YEAR; NOT TO ACT IN A SUPERVISORY CAPACITY FOR 2 ½ YEARS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PROHIBITED FROM TRADING FOR OWN ACCOUNT FOR 1 YEAR.
STRIAR, BERNARD "BEN"	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT.
STRID, GREGORY A.	83-49	CFTC	08/04/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
STRULLE, RONALD H.	80-13	CFTC	07/03/80	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP.
STRUM, WALTER	78-65	CFTC	01/24/83	4b 4o			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; SUSP. AS CTA 12 MO.; SUSP. AS AP 12 MO.
SUBA, THOMAS	83-4	CFTC	06/27/86	4b 9 4d 4g 4b(A)	1.20 166.3 1.32 1.35 1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED.
SUEN, ALAN	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	
SULEIMAN, NASSAIM R.	77-9	CFTC	01/05/79	4a(2) 4g(4) 4i	1.35(d) 18.00 150.4		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS.
SULLIVAN, BRIEN	97-01478ACK	D HA	09/28/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a) 4.20(b)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; SULLIVAN ORDERED TO PAY RESTITUTION OF \$317,193.84 AND A CMP OF \$100,000; SULLIVAN IS ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION OR LICENSING UNDER THE CEA.
SULLIVAN, DENNIS M.	89-5	CFTC	10/19/90				APPEALED.
SUMITOMO CORPORATION	98-14	CFTC	05/11/98	6(c) 6(d) 9(a)(2)			CEASE & DESIST ORDER; \$125,000,000 CMP IMPOSED; RESTITUTION OF \$25,000,000; SUMITOMO SHALL COOPERATE WITH THE COMMISSION.
SUMMERS, H. DEAN	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000 JOINTLY OWED; TRAD. PRIV. SUSP. 24 MO.
SUMMIT TRADING SYSTEMS	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ORDERED.
SUN HING BULLION INVESTMENT	92-9	CFTC	12/09/91	4(a) 4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY FOR REGISTRATION.
SUN HING BULLION INVESTMENT LIMITED	90-5214R	CD CA	12/17/91	4(a) 4b(A)		PERMANENT INJUNCTION	
SUN, HARRY	93-0088	ED NY	12/06/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
SUNDHEIMER, STEPHEN M.	79-22	CFTC	09/16/81	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD PRIV. SUSP. 24 MO.; REG. REVOKED AS FB; AFFIRMED ON APPEAL BY 9 TH CIR.
SUPPA, MARK J.	SD-95-9	CFTC	01/30/95				FB CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
SUTER, RICHARD W.	80-24	CFTC	09/19/80	4o			CEASE & DESIST ORDER; REG. REVOKED AS CTA.
SUTTON ROSS ASSOCIATES, INC.	82-22	CFTC	03/21/85	4b(A) 4o(1) 4m 4n(3)(A) 4n(4)	4.21 4.22(c) 4.21(g)(1) 4.22(a) 4.22(h) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$40,500; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS CTA & CPO.
SUTTON, RALPH ARTHUR	86-23	CFTC	04/15/86	4n(4) 4o(1) 4o(2)	4.21(a) 4.22(a) 4.20(C)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; NOT TO REAPPLY FOR REGISTRATION OR BECOME A COMMODITY PROFESSIONAL FOR SIX YEARS.
SVAGDIS, EDWARD J.	80-315	SD FL	05/29/81	4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; PROTECT BOOKS & RECORDS.
SVAGDIS, EDWARD J.	81-1749MA	D MA	07/10/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	4.22(a) 4.23(a) 1.7 4.21(a) 4.21(b)	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION.
SVAGDIS, EDWARD J.	82-1	CFTC	11/04/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	1.7 4.21(a) 4.21(b) 4.22(a) 4.23(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION.
SWANNELL, RICHARD	00-28	CFTC	9/6/00	4b(a)(i) 4b(a)(iii)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			JOINTLY & SEVERALLY OWED; SHALL COMPLY W/ UNDERTAKINGS.
SWARTZ, RONALD J.	98CIV7505	ND IL	05/27/99	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.30 4.31(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; SWARTZ MAY NOT SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY UNDER THE CEA & ACT IN ANY CAPACITY REQUIRING REGISTRATION; RESTITUTION JOINTLY & SEVERALLY OWED PLUS INTEREST; CMP; PAY COSTS & FEES.
SWARTZLANDER, PHILIP J.	83-57	CFTC	05/25/84	4b(A) 4b(B)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 240 MO.
SWAYNE, LEA ANNE	92-443E(M)	SD CA	11/29/93	4(a) 4b(A)		PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; DISGORGEMENT \$47,563.
SWEEM, GREGORY H.	88-152-B	SD IA	06/22/89	4b(A) 4b(C) 9(a) 4d(1) 4d(2)	1.20(a)	PERMANENT INJUNCTION	
SWEENEY AND ASSOCIATES	81-5651	ND IL	01/14/82	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
SWEENEY AND ASSOCIATES	82-19	CFTC	10/17/83	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
SWEENEY, CHARLES N.	93-25	CFTC	09/07/93	4b(a)(ii)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; SUSP. AS AP 1-2 MO.
SWEENEY, JAMES J.	81-5651	ND IL	12/29/81 01/14/82	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)	PERMANENT INJUNCTION	CITED FOR CIVIL CONTEMPT; DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECEIVER APPOINTED.
SWEENEY, JAMES J.	82-19	CFTC	10/17/83	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
SYSTEMS OF SUCCESS-WINDOW TO PROFIT d/b/a SYSTEMS OF SUCCESS	00-27	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMPLAINT FILED	
SZE, CHUNG FUNG	92-259	ED NY	08/24/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	DISGORGEMENT OF \$50,000; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
SZUCHMAN, LOUIS J.	79-1406	SD FL	05/20/84 02/19/85			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; CITED FOR CIVIL CONTEMPT.
T & D MANAGEMENT COMPANY	81-0633	D UT	08/26/81	4o(1)		PERMANENT INJUNCTION	
T & D MANAGEMENT COMPANY	82-12	CFTC	03/03/82	4m 4n(3) 4o(1) 6(b)	4.21(a) 4.21(b) 4.23 4.31(a) 4.31(b)		CEASE & DESIST ORDER; REG. REVOKED AS CTA & CPO; NOT TO APPLY FOR REGISTRATION.
T. YOUNG & COMPANY, INC.	85-32	CFTC	09/20/85	4d 4n(4)	1.7 1.20(a) 1.33(a) 4.22(h) 4.24(a)		CEASE & DESIST ORDER.
T.S.F. TRADING CO., INC.	79-0670	SD NY	03/12/79	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
TABB, EDWARD N.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PERMANENT INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; DISGORGEMENT OF \$806,022.78 PLUS PRE-JUDGEMENT INTEREST; RESTITUTION OF \$2,947,360.41 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
TAFT, FREDERICK W.	95-6221	SD FL	11/27/96	4m(1) 4o(1)(A)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)(B) 4b(a)(i)			ENJOINED FROM SEEKING REGISTRATION; ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITY TRADING ADVICE; CONTROLLING ANY COMMODITY TRADING; BEING EMPLOYED BY ANY BUSINESS THAT PROVIDES COMMODITY FUTURES AND OPTIONS PROGRAMS; ALSO ENJOINED FROM VIOLATING FLA. DECEPTIVE & UNFAIR PRACTICES ACT AND FROM OPERATING A BUSINESS IN FLA.
TAGGARES, PETER J.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV. SUSP. 48 MO.
TAN, DENNIS K.	88-1571	D AZ	09/28/88 04/15/91	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 4.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; DISGORGEMENT.
TAN, DENNIS K.	88-31	CFTC	09/28/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 4.22 4.23 4.20(b) 4.20(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION OR BECOME PRINCIPAL OF ANY ENTITY REQUIRED TO BE REGISTERED.
TAN, THOMAS	93-0067	CD CA	12/19/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
TARA SECURITIES CORPORATION	88-6958	SD FL	10/11/89	4c(b) 6(b) 4f 4k	33.7(f) 33.10 166.2 33.7(d) 3.15 3.31 3.12(a) 166.3	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.
TARA SECURITIES CORPORATION	89-21	CFTC				COMPLAINT FILED	
TAUBMAN, GLENN R.	98-6564	S.D. FL.	1/21/00	4f(a) 4k(1) 4k(5)	3.10(a)(2)(i)	PERMANENT INJUNCTION	SHALL NOT SEEK REGISTRATION W/ COMMISSION OR ACT IN A REGISTERED CAPACITY FOR 2

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							YEARS; ENJOINED FROM VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
TAYBI, MOHAMED NAJIB	00-12	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
TAYLOR COMMODITY CORPORATION	79-0609-H	ND TX	03/30/80	4c(b)	32.6 32.7	PERMANENT INJUNCTION	
TAYLOR COMMODITY CORPORATION	79-19	CFTC	05/23/80	4f(2) 4c(b) 4f(1) 5(b)	1.17(b)(1) 32.6(a) 1.18(a) 1.35(a) 1.10(d) 32.6(f)		CEASE & DESIST ORDER; REG. REVOKED AS FCM, CTA & CPO; NOT TO REAPPLY FOR REGISTRATION.
TAYLOR, RICHARD J.	78-49	CFTC	11/20/81				ALLOWED TO WITHDRAW CTA AND CPO REGISTRATION APPLICATIONS.
TAYLOR, RICHARD J.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.3(b) 32.6 32.7	PERMANENT INJUNCTION	
TAYLOR, RICHARD J.	79-19	CFTC	05/23/80	13(a) 4f(2) 4c(b) 4f(1) 5(b)	1.17(b)(1) 32.6(a) 1.18(a) 1.35(a) 1.10d 32.6(f)		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
TAYLOR, VELDON DEE	81-0633	D UT	08/26/81	4o(1)		PERMANENT INJUNCTION	
TAYLOR, VELDON DEE	82-12	CFTC	03/03/82	4m 4n(3) 4o(1) 6(b)	4.21(a) 4.21(b) 4.23 4.31(a) 4.31(b)		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
TEC INDUSTRIES, INC.	81-2250-W	WD TN	01/30/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
TECH-COMM LIMITED PARTNERSHIPS	97-5691	INN.	02/23/99	4b(a)(i) 4b(a)(ii)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RESTRAINED FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY.
TECHNO TRADING, INC.	95-8	CFTC	01/08/98	4c(b)	33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB.
TEMPELAR, SIMON	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ACCOUNTING ORDERED.
TEMPLE, LONNIE L.	79-0609-H	ND TX	03/03/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
TEMPLE, MICHAEL	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
TEMPLE, SHAWN PATRICK	90-24	CFTC	04/30/91	4b(A) 4o(1) 4k(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRADING PRIVILEGES REVOKED.
TEMPLER INTERNATIONAL, LTD.	97CIV5255	SD NY				COMPLAINT FILED	
TENNESSEE RIVER COAL COMPANY, INC.	81-2250-W	WD TN	01/22/87	4b(A) 4(C) 4o(1)		PERMANENT INJUNCTION	
TENNEY, ARNOLD	77-2678EW	SD NY	05/19/78	4c(b) 4k 4o(1)	30.01 32.3 32.8	PERMANENT INJUNCTION	
TENNEY, ARNOLD	79-1	CFTC	09/27/79	4c(b) 4o(1)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TO JOINTLY PAY \$300,000 INTO ESCROW FOR CUSTOMERS; BARRED FROM ACTING AS COMMODITY TRADING PROFESSIONAL FOR 5 YEARS.
TEPLITZ, STEPHEN M.	79-60	CFTC	05/06/81		1.14(b)		PEN. AMNT.: \$2,000.
TERRAZAS, FREDERICK	87-06486R	CD CA	11/09/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO OENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
TESTACCIO, RICHARD THOMAS	83-32	CFTC	09/28/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
THALER, ELLIOTT	89-6	CFTC	05/23/90	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
THALER, MICHAEL	SD-98-3	CFTC	12/18/98	8a(3)(M) 8a(4)			THALER'S REGISTRATION IS RESTRICTED AS FOLLOWS: SHALL NOT ACT AS AN FB OR FT

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PURSUANT TO SECTIONS 4(e) AND 4(f), UNLESS HIS ACTIVITIES AS AN FB OR FT ARE SUBJECT TO A SUPPLEMENTAL SPONSOR CERTIFICATION STATEMENT; RESTRICTIONS IN EFFECT FOR 2 YEARS.
THD, INCORPORATED	88-C-3188	ND OK	05/22/89		1.57(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
THE ANDERSONS, INC.	99-5	CFTC	01/12/99	4(a) 4c(b)	32.2		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; CMP TO BE PAID WITHIN TEN DAYS OF THE ORDER DATE.
THE BERKSHIRE INTERNATIONAL HEDGE FUND L.P	CV-97-838MA	D OR	07/22/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS LIABLE FOR RESTITUTION AMOUNT OF \$3,931,524.69; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION OR LICENSING UNDER THE CEA OR THE OREGON SECURITIES LAW IS REQUIRED; ALSO VIOLATED OREGON STATUTES.
THE EDWARD W. SCHROEDER LIVING TRUST	96-4563	CD CAL	07/11/96	4b(a)(i) 4o(1) 9(a) 4k(2) 4m(1)	4.20(a) 4.20(b) 4.20(c) 4.41(a) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITIES ADVICE; COOPERATE WITH COMMISSION.
THE KENNETH ROBERTS COMPANY	95-16	CFTC	08/10/95	4m(1)			CEASE & DESIST ORDER; COMPLY WITH UNDERTAKINGS; TO APPLY FOR REGISTRATION AS CTA.
THE MOCATTA CORPORATION	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$145,000.
THE WHITEHALL TRUST	98CIV2908	SD NY	05/07/98	4b(a)(i) 4o(1) 9(a)(1) 4m(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; REPATRIATED FUNDS SHALL BE DEPOSITED IN AN ACCOUNT DESIGNATED BY THE CLERK OF

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COURT, S.D.N.Y.
THEIS, STEPHEN O.	85-6	CFTC	01/09/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
THEMY, TIM	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
THOMAS, ALBERT W.	90-32	CFTC	09/22/92	4b(A)	166.3		CEASE & DESIST ORDER; REG. REVOKED AS AP; MUST WITHDRAW AS PRINCIPAL OF ANY REGISTERED ENTITY.
THOMAS, KATHLEEN	89-20	CFTC	03/20/90	6(b)	1.10(d)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 6 MO.
THOMAS, MICHAEL	95-8	CFTC	01/08/98	4c(b) 4o(1)(A) 4o(1)(B)	33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED AS AP.
THOMAS, MICHAEL	99-7	CFTC	07/29/99	4k(1)	3.12(a) 166.3		CEASE & DESIST ORDER; CIVIL MONETARY PENALTY NOT IMPOSED BASED UPON SWORN FINANCIAL STATEMENT; SHALL NEVER APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
THOMAS, RIAN A.	85-10	CFTC	01/18/85	4a			CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 MONTHS.
THOMAS, RIAN A.	85-6066	SD FL	01/30/85	4(a)		PERMANENT INJUNCTION	
THOMAS, TODD ALAN	98-13	CFTC	11/03/99	4c(b)	33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; APPEAL VACATED; RESTITUTION OF \$1.9 MILLION; CIVIL MONETARY PENALTY WAIVED BASED ON SWORN FINANCIAL STATEMENT; SHALL COMPLY WITH UNDERTAKINGS.
THOMPSON, DOUGLAS E.	80-15	CFTC	08/07/81	4b 4o			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
THOMPSON, GARY WAYNE	84-0621-R	MD TX	11/12/85	4d(1) 4d(2) 4k 4(a)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(A) 4b(D) 4o(1) 4n(3)			
THOMPSON, HOWARD E.	00-19	CFTC	5/31/00	4a(e) 4i 6(c)	18.04(a)(5) 18.04(d)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY AMOUNT OF \$50,000; TRADING SUSPENDED FOR 60 DAYS.
THOMPSON, RICHARD B.	82-25	CFTC	04/20/83	4b(A) 4d(1) 4g(1) 4o	1.33(a) 1.46(a) 3.10 4.21 4.22		CEASE & DESIST ORDER; REG. REVOKED AS AP; TO WITHDRAW REGISTRATION APPLICATION AND NOT REAPPLY.
THOMPSON, RICHARD B.	82-879	D MA	04/25/83	4b(A) 4d(1) 4g(1) 4o(1)	1.17 1.33(a) 1.46(a) 4.21 4.22	PERMANENT INJUNCTION	
THOMPSON, WILLIAM F. JR.	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
THOMPSON, WILLIAM H.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
THOMSON MCKINNON FUTURES INC.	85-24	CFTC	06/25/87	4m			PEN.. AMNT.: \$500.
THOMSON MCKINNON SECURITIES, INC.	83-6	CFTC	11/17/82	4g(1) 6(b)	17.00 17.01 17.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TO UNDERTAKE IMPROVEMENTS IN REPORTING PROCEDURES.
THORKELSSON, VALDIMAR d/b/a R.S. OF HOUSTON WORKSHOP	00-10	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
THREE EIGHT CORPORATION	88-33	CFTC	05/24/89	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRADING PRIVILEGES REVOKED.
THREE G TRADING CORPORATION	80-28	CFTC	01/25/91	4d 4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 18 MO.; ALJ DECISION OF 3/27/86 AFFIRMED IN PART AND VACATED IN PART; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
THREE G TRADING CORPORATION	80-29	CFTC	09/30/87	4c(a) 4b	1.38		CEASE & DESIST ORDER; APPEALED.
THREE G TRADING CORPORATION	80-31	CFTC	01/25/91	4c(a)(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1-2 MO.; ALJ DECISION

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AFFIRMED WITH MODIFICATIONS; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
THREE G TRADING CORPORATION	80-32	CFTC	08/22/86	4c(a) 4b(D)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
THREE MCSTOCK FARMS, LTD.	84-18	CFTC	07/09/84	4i	18.04 15.01(c)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 3 MO.
TICHY, RICHARD	99-6560-CIV	SD FL.	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGEMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
TIERNEY, DONALD D.	81-6	CFTC	09/22/81				REG. DENIED AS FB.
TIMBER HILL, INC.	88-11	CFTC	02/11/88	4i	17.00		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
TIMBER HILL, INC.	90-22	CFTC	06/30/92	4i 6(b)	17.00 17.02		CEASE & DESIST ORDER; PEN. AMNT.: \$42,500.
TIMPSON, JAMES	86-1342TCM	SD CA	05/27/88			PERMANENT INJUNCTION	
TIPTON, CARL M.	81-2250-W	WD TN	01/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
TIPTON, CARL M. JR.	77-17	CFTC	09/22/78				REG. DENIED AS AP.
TITLIS INTERNATIONAL INC.	95-5416	SD NY	02/19/98	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CMP OF \$3,296,424.09; TII AND ANY SUCCESSORS SHALL DISGORGE TO THE RECEIVER THE AMOUNT OF \$1,098,803.03; ALL DEFENDANTS ARE JOINTLY AND SEVERALLY LIABLE TO TII CUSTOMERS OF \$893,218.77 WITH INTEREST FROM THE DATE OF THE VIOLATIONS.
TMI COMMODITIES, INC.	80-22	CFTC	10/21/83	4b 4b(A) 4d(2)	1.17(a) 1.37 1.20(a)		CEASE & DESIST ORDER; REG. REVOKED AS FCM.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f(2) 4g(1)	1.21 1.22		
TOBIN, JOHN M.	89C8576	ND IL	08/28/95	4m 4o(1) 4d(2) 4d(1) 4b(a)(i) 4b(a)(ii) 4n(3)(A)	1.20(a) 4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; MAKE RESTITUTION OF \$245,801.88; PERMANENTLY PROHIBITED FROM ACTING IN ANY CAPACITY AS A FCM, CPO, CTA, IB, FB, FT, OR AP; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION.
TOBLER, BRIAN	2:98CV00216J	C.D. UT	4/7/00	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$5,850; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; SHALL NOT SEEK REGISTRATION W/ COMMISSION; PROHIBITED FROM TRADING FOR OWN ACCOUNT FOR 10 YRS.
TODD, WILLIAM ANTHONY	81-2250-W	WD TN	02/13/84	4o(1) 4 4b(A) 4b(C)		PERMANENT INJUNCTION	
TODHUNTER, JONATHAN	88-05540JGD	CD CA	05/01/89	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
TOLAR, MICHAEL J.	88-7	CFTC	04/10/92	4g	1.35(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
TOMLINSON, GEORGE M.	89-5	CFTC	10/19/90				APPEALED.
TOMPIS, DEAN T.	85-46	CFTC	02/21/86	4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
TOOMEY, PAUL	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ORDERED TO DISGORGE \$2.1 MILLION; NORBERT NOWICKI APPOINTED RECEIVER.
TOPWORTH INTERNATIONAL	94-1256	CD CA	11/02/95	4(a)		PERMANENT INJUNCTION	DISGORGE \$5,947,401.32; ENJOINED FROM SELLING, PURCHASING OR OFFERING TO SELL OR PURCHASE ANY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMMODITY CONTRACT OR OPTION.
TORRES, RAFAEL D.	78-13	CFTC	04/25/78	6(c)			CEASE & DESIST ORDER; REG. DENIED AS AP.
TORRI, JOHN	84-243PHX	D AZ	06/27/86	19	31.1 31.2 31.3	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF THE ARIZONA CONSUMER FRAUD ACT; TO PAY TO THE STATE OF ARIZONA \$6,000 FOR COSTS AND PENALTY.
TORTOLA CORPORATION CO., LTD.	99-6560-CIV	S.D. FL.	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGEMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
TOUPS, FRANCES LITTLE	78-0161	WD LA	02/13/78	4c(b) 4f(1) 4f(2) 4g	1.18 1.31 32.7 32.9 1.17(b)	PERMANENT INJUNCTION	
TOUPS, ROLAND P.	78-0161	WD LA	02/13/78	4c(b) 4f(1) 4f(2) 4g	1.18 1.31 32.7 32.9 1.17(b)	PERMANENT INJUNCTION	
TRADERS INTERNATIONAL INC.	82-6850NCR	SD FL	08/06/84	4d(2) 4f(2) 4g(1)	1.17(a) 1.20(a) 1.25 1.26 1.28 1.31 1.32	PERMANENT INJUNCTION	
TRADING RESOURCES, INC.	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b)	1.35(a-1) 166.2 33.10 155.3(b)(2) 1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM & CPO; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4g(1) 4i 6(b)	1.31 1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00		IN ACTIVITY REQUIRING REGISTRATION.
TRANS WORLD METALS CORPORATION	87-2591HAA	D NJ	11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS.
TRANSCONTINENTAL PETROLEUM CORP.	80-0689	SD NY	07/19/80	4b		PERMANENT INJUNCTION	
TRAYLOR, GIL	85-7871-KN	CD CA	12/05/88 12/14/88 12/05/89	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING CALIFORNIA BUSINESS AND PROFESSIONAL CODE; TO PAY CIVIL PENALTY OF \$500,000 TO THE STATE OF CALIFORNIA.
TREAT, EDWIN FRANCIS	78-17	CFTC	12/07/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
TRENCH, CHARLES W.	99-S-1874	D COL	09/27/99	4c(b)	32.5 32.9 32.11 33.3	COMPLAINT FILED	
TRENDING CYCLES FOR COMMODITIES, INC.	80-315	SD FL	03/17/80 10/07/81			PRELIMINARY INJUNCTION	DISSOLVED BY STATE OF FLORIDA.
TRENDY SYSTEMS, LLC	00-15	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED/ CO-RESPONDENTS; SHALL COMPLY W/ UNDERTAKINGS.
TRILLION JAPAN CO., LTD.	90-1	CFTC	05/23/94				COUNT ONE & TWO OF THE COMPLAINT IS DISMISSED.
TRI-METRO MANAGEMENT, INC.	79-0609-H	ND TX	03/03/80	4c(b) 4c(c)	32.11 32.3(b)(1)	PERMANENT INJUNCTION	
TRINITY FINANCIAL GROUP, INC.	92-6832	L	06/23/93	4b(a) 4c(b) 4f	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				6(c) 8a(1)	3.31 3.10		
TRINITY METALS EXCHANGE OF KANSAS CITY INC.	85-1482-W3	05/16/86	4(a)			PERMANENT INJUNCTION	
TRITSCH, GARY A.	79-58	CFTC	04/04/80				REG. REVOKED AS AP.
TRIVETTE, DONALD	5:99-CV-54-V	WD NC	06/14/99	4b(a)(i) 4b(a)(ii) 4b(A)(iii) 4c(b) 4o(1)(A) 4o(1)(B)	33.10 4.20	PRELIMINARY INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
TROPIANO, MICHAEL	96-CV-228	01/09/97	4b(a) 4m 4o 9(a)			PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; WILL WITHDRAW AS CTA; NEVER ENGAGE IN ACTIVITIES THAT REQUIRE REGISTRATION UNDER THE ACT; WILL NOT ADVISE OTHERS REGARDING COMMODITIES.
TROUBADOUR, INC.	CV99-00653	D. HAW	10/14/99	4b(a)(i) 4b(a)(iii) 4c(b) 4m(1) 4o(1)	33.10(a) 33.10(c) 4.41(a) 4.41(b)(i)	PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT IN ANY CAPACITY REQUIRING REGISTRATION W/ COMMISSION.
TROYER, THOMAS L.	82-1931	ND OH	07/22/83	4b 4m 4n(1) 4n(3)(B) 4o(1)	4.20 4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
TRUEBA, CARLOS T.	78-15	CFTC	05/04/79	4k(2)			CEASE & DESIST ORDER; REG. DENIED AS AP.
TSANTES, HAROLD A.	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED AS AP; SUSP. AS FB 1-2 MO.; CIVIL PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWED FUNDS EXCEED CUSTOMER CLAIM; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY OTHER THAN FLOOR BROKER.
TSAO, DAVID	92-1676	CD CA	12/19/94	4m	4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
TSO, KUN-CHEONG	92-259	ED NY	12/09/92	4a 4b(A) 4d(1)	3.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
TSUI, ALLEN	98-10	CFTC	03/10/99	4b(a)(i)	1.55(a)(1)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 48 MO.; REG. REVOKED AS AP; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY.
TUCK, RICHARD G.	83-14	CFTC	11/25/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
TUKEY, THOMAS B.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
TULIG, DANIEL F.	89-11	CFTC	05/30/91	4(a) 4(b)(A) 4(b)(B) 4(b)(C) 4(b)(D) 4c(a)(A) 4g(1) 4h(2) 4(h)	1.35(a-1) 1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; COOPERATE WITH DIVISION.
TURKISH, NORMAN	80-5	CFTC	08/19/82	4c(a) 9(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
TURKISH, NORMAN	80-31	CFTC	01/25/91	4g 4c(a)(B) 4b(D) 4c(a)(A)	1.37 1.38(a) 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; ALJ DECISION OF 2/5/85 AFFIRMED WITH MODIFICATIONS; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
TURMAN, DANIEL CLAY	84-15	CFTC	07/31/84	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMTN.: \$50,000.
TURNER, RICHARD	79-3371	SD NY	10/22/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
TURNER, RICHARD M.	77-5	CFTC	02/10/78	4c(b) 4o(1) 4o(2)	32.9		CEASE & DESIST ORDER; TO WITHDRAW FROM REGISTRATION AS AP AND NOT REAPPLY FOR 3 MONTHS.
TYLER, DEAN H.	90-31	CFTC	01/16/92	4b(A) 4b(D) 4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(a-1) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$65,000; TRAD. PRIV. SUSP. 24 MO.; AFTER EXPIRATION OF TRADING BAN, MAY PLACE ORDER TO BE EXECUTED BY DULY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AUTHORIZED PERSONS; MAY NEVER APPLY FOR REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; NEVER TO APPEAR ON TRADING FLOOR DURING TRADING HOURS.
TYSON FOODS, INC.	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 12 MO.
TYSON, DONALD	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
U. S. A. COMMODITY FUTURES, INC.	85-8365IH	CD CA	01/13/86	4d(2) 4f(2) 4g(1)	1.20(a) 1.17(a) 1.18(a) 1.23 1.31 1.32 1.35(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
U.S. GRAIN CORPORATION	78-2102A	ND GA	12/18/78	4d(2) 4f(2) 4g(2)	1.17(a) 1.18(b) 1.18(c) 1.20(a) 1.23 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
U.S. INVESTMENT CO., LTD.	81-1070-MC	D MA	06/05/81	4d(1) 4b(A) 4b(B) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
UNI-FINEX, INC.	95-2668	D NJ	06/02/95	4(a) 4b(a)(i) 4d(1)		COMPLAINT FILED	
UNITED AMERICAN COAL COMPANY	81-2250-W	WD TN	01/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
UNITED CURRENCIES CORP.	76-7814	Y	12/23/98	4(a) 4b(a)(i) 4d(1) 9(a)(1)		PERMANENT INJUNCTION	CMP OF \$7,142,393.55 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS; RESTITUTION TO CUSTOMERS OF \$2,380,797.85 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS.
UNITED EQUITIES	86-12	CFTC	02/24/86				PEN. AMNT.: \$2,500; TO

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
(COMMODITIES) CO.							UNDERTAKE IMPROVEMENTS IN RECORDKEEPING AND COMPLIANCE PROGRAM.
UNITED KINGDOM COMMODITY OPTIONS, LTD.	78-1604CSH	SD NY	12/07/78	6(b) 4f 4g	1.10	PERMANENT INJUNCTION	
UNITED METALS TRADING CORP.	96-2185	D AZ	01/22/98	4b(a)(i) 4d(1) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(2)	4.20(a) 4.20(b) 4.20(C) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY LIABLE FOR \$602,088.05; ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT (ASA); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER ACT OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT.
UNITED PETROLEUM EXCHANGE CORP.	80-0689	SD NY	06/24/82	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
UNITED STATES METAL DEPOSITORY CORP.	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
UNIVERSAL PRECIOUS METALS, INC.	82-6108	SD FL	01/07/83	4 4h 4n(3)(A)	4.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
URBAN, GABOR	97-6800	CD CAL	05/04/98	4b(a)(i) 4b(a)(ii) 4m 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT; RESTITUTION OF \$1,104,793.50 TOGETHER WITH PREJUDGMENT AND POST JUDGMENT INTEREST; NFA DESIGNATED AS THE MONITOR FOR 5 YEARS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
URBANI, PETER J.	H-96-1213	SD TX	05/28/99				JUDGMENT; DEFENDANTS URBANI AND ALCHEMY JOINTLY & SEVERALLY OWE RESTITUTION OF \$70,832.45 PLUS POST-JUDGMENT INTEREST.
URBANO, ALFRED R.	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
VALENTINE, DAVID	82-2062	SD FL	01/16/84	4o(1)		PERMANENT INJUNCTION	
VALENTINE, DAVID	84-23	CFTC	02/24/84	4b 4o(1)			CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
VALK, VINCENT	85-23	CFTC	09/12/88	4b(A) 4c(b) 4o	4.31(a) 4.31(b) 4.31(f) 4.41(a) 4.41(b) 33.3(a) 33.10(a) 33.10(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS CTA.
VALLETTA, GARY V.	98-6564	SD FL	06/01/98	4k(1) 4k(5) 13(a) 4f(a)	3.10(A)(2)(i)	COMPLAINT FILED	
VAN DEN BROEKE, EDDY	79-36	CFTC	04/04/83	4a(2)(B) 6(b)	18.01 19.00 19.04 19.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
VAN OVERMEER, ROBERT J.	80-12	CFTC	10/22/80	6(b) 4k			CEASE & DESIST ORDER; REG. REVOKED AS AP.
VAN OVERMEER, ROBERT J.	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
VANDERLINDE, FRED R.	88-18	CFTC	06/07/88	4k(1)	166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION OR TO SUPERVISE PERSONS SOLICITING CUSTOMER ORDERS FOR 5 YEARS.
VARNER, MICHAEL H.	SD-99-1	CFTC	06/04/99	8a(3)(M)			FB REGISTRATION RESTRICTED FOR 2 YEARS.
VARTULI, ANTHONY	97-CIV-3119	SD NY	10/13/98	1a(5) 4k(3) 4o(1)(A) 4o(1)(B) 4b(A)(i)	1.33(a)(4) 4.41		DISGORGEMENT; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT JOINTLY & SEVERALLY OWED WITH AVCO \$701,534; CMP \$5,000; JUDGMENT BY COURT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AFTER ITS ISSUANCE ON 8/20/98 OF PERMANENT INJUNCTION.
VELISSARIS, GEORGE W.	00-02	CFTC	12/16/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)	4.20(c)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; RESTITUTION OF \$103,662.93 PLUS PRE-JUDGEMENT INTEREST OF \$10,541; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL NOT ACT AS AN AGENT OR OFFICER OF ANY PERSON REGISTERED.
VENDITTELLI, CHARLES	80-29	CFTC	09/30/87	4c(a) 4b	1.38		CEASE & DESIST; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
VENDITTELLI, CHARLES	80-32	CFTC	08/22/86	4c(a) 4b(D)	1.38		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
VENIT, MARTIN L.	SD-95-12	CFTC	03/08/95				FT CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR ONE YEAR.
VERCILLO, JOHN A.	91-8	CFTC	06/08/98				APPEALED; 7 TH U.S. CIRCUIT COURT OF APPEAL AFFIRMS THE COMMISSION'S 5/30/97 DECISION.
VERCILLO, JOHN A.	SD-93-11	CFTC	06/25/97				APPEALED; 7 TH U.S. CIRCUIT COURT OF APPEAL AFFIRMS THE COMMISSION'S 5/30/97 DECISION.
VERILLI ALTSCHULER SCHWARTZ, INC.	85-20	CFTC	05/30/86	4b(A) 4f(2) 4g 4n(3)(A) 4o(1)	1.17 1.18 4.22(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM, CTA & CPO.
VERNIER, DARCY	86-36	CFTC	01/19/89	4b(A)	30.02 1.56(c)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.
VERO BEACH FUNDING CORPORATION	84-6401NCR	SD FL	05/21/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
VERTRIX, INC.	98CIV7505	ND IL	05/27/99	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.30 4.31(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; VERTRIX IS ENJOINED FROM SEEKING REGISTRATION WITH COMMISSION IN ANY CAPACITY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							UNDER THE ACT & ACTING IN ANY CAPACITY REQUIRING REGISTRATION; RESTITUTION JOINTLY & SEVERALLY OWED PLUS INTEREST; CMP; PAY COSTS & FEES.
VESELY, ERIC G.	76-21	CFTC	01/11/79	4b 4m 4o			CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
VIELE, RICHARD	00-27	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMPLAINT FILED	
VIGNOLA, ANGELO PAUL	SD-98-2	CFTC				COMPLAINT FILED	
VINCI, JOHN	80-0689	SD NY	07/15/81	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
VINOTRON SYSTEMS, INC.	82-449E	ND OK	11/04/83	4m 4o(1)	4.13(b) 4.41(a) 4.41(b)	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
VIOLA, VINCENT	81-20	CFTC	01/20/82				REG. DENIED AS FB.
VIRGIL, JERRY N.	83-38	CFTC	03/04/84				REG. REVOKED AS AP.
VIRGINIA TRADING CORPORATION	83-56	CFTC	08/14/84	4g(1) 4i 6(b)	17.00(a) 17/02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TO UNDERTAKE IMPROVEMENTS IN RECORDKEEPING AND REPORTING PROCEDURES.
VISIONEERING RESEARCH & DEVELOPMENT CO.	97-11	CFTC	07/30/97		4.34(n)(1) 4.34(n)(3)iii 4.35(a)(1)ii 4.35(a)(1)iii 4.35(a)(3)I 4.35(a)(6) 4.35(a)(7)(i) 4.36(c)(1) 4.36(d)(2) 4.35(a)(1)ivA 4.35(a)(1)ivB		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 CONTINGENT; COMPANY SHALL RETAIN AN INDEPENDENT CONSULTANT FOR 2 YEARS TO ENSURE THAT INFORMATION IN THE DISCLOSURE DOCUMENT IS ACCURATE; APPOINT A COMPLIANCE OFFICER.
VOIGT, DONALD J.	87-4	CFTC	12/07/87		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
VOLUME INVESTORS CORP.	85-2213KTD	SD NY	02/01/91			PERMANENT INJUNCTION	ENJOINED FROM VIOLATING ANY AND ALL SECTIONS OF THE ACT.
VOLUME INVESTORS	85-25	CFTC	06/11/86	4b	1.17(a)		CEASE & DESIST ORDER;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CORPORATION				4d(2) 4f(2)	1.20(a) 1.20(c) 1.22 166.3		TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
VON BRAUN, HERMAN A.	78-30	CFTC	06/22/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
VON HOFMANN, KURT	77-3928	CD CA	10/31/77	4d(2) 4f(2)	1.17 1.20(a)	PERMANENT INJUNCTION	
VON HOFMANN, KURT	80-2	CFTC	03/03/83	4f(2) 4g(1) 4d(2)	1.17(b)(1) 1.10(f) 1.20(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
WAGGONER, RICHARD T.	79-03851	CD CA	09/16/82	4c(c) 4c(b)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
WAGNER, MARTHA A.	90-28	CFTC	04/30/91	4f(2) 6(b)	1.10(d) 1.17(a)(1) 1.17(a)(4) 1.18(a)		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO BE EMPLOYED BY A REGISTRANT AS COMPTROLLER OR SIMILAR POSITION.
WALKER, HAMPTON J.	84-46	CFTC	01/21/86	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
WALL STREET PRECIOUS METALS INC.	799-3382	SD NY	12/05/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
WALSH, WILLIAM AUSTIN	90-5	CFTC	01/20/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION, HAVE CONTRACT MARKET MEMBERSHIP, OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION IN ACCORDANCE WITH RELATED PROCEEDINGS.
WALSHAK, PETER MATTHEW	83-33	CFTC	07/01/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
WALTER, EUGENE MORRIS	3-96-CV2734		06/26/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4c(b) 4d(1) 4d(2) 4m(1)	33.10 4.30 1.33 1.55 33(b)(1) 33.7	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
WALTERS, MAX E.	99-15	CFTC	4/7/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b)	33.10	ALJ ORDER	CEASE & DESIST ORDER; TRADING PROHIBITION; ALL REMAINING MATTERS ARE STAYED UNTIL 8/14/00.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WALTUCH, NORTON	85-12	CFTC	07/10/90	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; SUSP. AS FB 6 MO.; NOT TO ACT AS A FLOOR TRADER FOR 6 MOS.
WANG, SHERRY	93-0088	ED NY	12/06/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
WASSERMAN, MOGENS M.	89-24	CFTC	03/25/94	4b(A) 4c(b) 4o(1)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 12 MO.; SUSP. AS AP 6 MO.; APPEAL DISMISSED 3/25/94.
WATERS TAN AND COMPANY, INC.	88-1571	D AZ	09/28/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 3.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
WATERS TAN AND COMPANY, INC.	88-31	CFTC	09/28/88	4b(A) 4b(B) 4b(C) 4m(1) 4o(1) 9(a)	4.20(b) 4.20(c) 4.21 4.22 4.23		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & IB; NOT TO REAPPLY FOR REGISTRATION.
WATERS, JOHN P.	88-1571	D AZ	09/28/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 3.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; DISGORGEMENT.
WATERS, JOHN P.	88-31	CFTC	09/28/88	4b(A) 4b(B) 4b(C) 4m(1) 4o(1) 9(a)	4.20(b) 4.20(c) 4.21 4.22 4.23		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION OR BECOME PRINCIPAL OF ANY ENTITY REQUIRED TO BE REGISTERED.
WATSON, CAROLYN JONES	85-6936	SD FL	01/24/86	4c(c)	33.9(c) 33.9(e)	PERMANENT INJUNCTION	DISGORGEMENT; PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.
WAYNE COUNTY PRODUCE, INC.	77-15	CFTC	01/10/84	4a 6(b) 6(c)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				9(b)			
WEAVER, JEFFREY W.	82-C-5955	ND IL	02/10/83	4m		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WEAVER, WARD A.	82-C-5955	ND IL	02/10/83	4m		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WEBMAN, LARRY M.	78-1692	SD FL	01/21/82	4c(b)	32.9	PERMANENT INJUNCTION	
WEBMAN, LARRY M.	79-3558	SD FL	03/01/82	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
WEBMAN, LARRY M.	82-17	CFTC	03/25/82	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; NOT TO BE EMPLOYED BY OR CONSULT FOR A REGISTRANT.
WEBMAN, MELVIN	79-1436	ND IL	12/07/81	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WEBMAN, MELVIN H.	79-3558	SD FL	03/01/82	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
WEBMAN, MELVIN H.	82-17	CFTC	03/25/82	4c(b) 4c(c)	32.9 32.11		CEASE & DESSIT ORDER; NOT TO BE EMPLOYED BY OR CONSULT FOR A REGISTRANT.
WEBSTER, JOHN J.	78-19	CFTC	08/12/82	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 120 MO.; REG. DENIED AS AP.
WEBSTER, JOHN J.	78-4195EW	SD NY	10/05/78	4d(2) 4b 4f(2) 4k(1)	1.17 1.20	PRELIMINARY INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WEDEEN, DAVID	00-08880 CIV-ZLOCH	S.D. FL.	12/4/00	4c(b)	33.10	TERMPORARY RESTRAINING ORDER	10/30/00 STATUTORY RESTRAINING ORDER IS VACATED.
WEINBERG, MARK ROSS	89-24	CFTC	01/05/94	4b(A) 4c(b) 4o(1) 9(a) 4(d)(1)	32.9 4.30		CEASE & DESIT ORDER; PEN. AMNT.: \$320,000; REG. REVOKED AS CTA & CPO.
WEINBERG, MICHAEL	88-4	CFTC	07/26/88	4f(2) 6(b)	1.10(b)(2) 1.10(d) 1.17		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 1 MO. OR LESS; NOT TO SEEK REGISTRATION OTHER THAN AS A FLOOR BROKER FOR 2 YEARS.
WEINGARTEN, LUDWIG	93-5	CFTC	08/18/93	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; NOT TO APPLY FOR REGISTRATION IN

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WEINSTEIN, JACK	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	ANY CAPACITY FOR 3 YEARS. DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
WEISBENBORN, WALLACE G.	85-46	CFTC	02/21/86	4g 4i	1.37(a) 17.00 18..04 18.04(a) 18.04(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
WEISENBERGER, ARTHUR J.	85-1555	ND CA	11/25/87			PERMANENT INJUNCTION	ESTATE TO PAY \$200,000 TO RECEIVER.
WEISER, MICHAEL	90-4	CFTC	02/13/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 6 MONTHS.
WEISS, DANIEL	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; JOINTLY & SEVERALLY LIABLE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES; 6/18/93 CIVIL CONTEMPT LIFTED UPON DW AGREEMENT; TO REVEAL LOCATION OF FUNDS & MAKE MONTHLY PAYMENTS OF \$1,000.
WEITMAN, EDWARD P.	77-3864	CD CA	06/12/79	4c(b) 4i 4g 4o	1.35(a) 32.7 32.9 32.5 1.31	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION.
WEITMAN, EDWARD P.	79-7	CFTC	04/22/83	4c(b) 6(b) 4g 4g(1) 4f(1) 4f(2) 4d	32.9 32.5 1.31(a) 1.35 32.7 1.17(b) 1.20 32.6 1.23 1.18 1.10(f) 1.32		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WEITMAN, EDWARD P.	84-8601	ND IL	10/19/84	4b(A) 4b(C)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WEITMAN, MARY FITZPATRICK	79-7	CFTC	04/22/83	4c(b) 6(b) 4g 4g(1) 4f(1) 4f(2) 4d	32.9 32.5 1.31(a) 1.35 32.7 1.17(b) 1.20 32.6 1.23 1.18 1.10(f) 1.32		CEASE & DESIST ORDER; REG. REVOKED AS AP.
WELDON, ANTHONY H.D.	89-11	CFTC	09/23/91	4d(1) 4k(1) 4f(1) 4(a) 4h(2) 4c(a)(A) 4g(1) 4d(2)	3.10(a) 1.38 1.35(a-1) 1.20 17.00 166.3 1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 120 MO.; BECAME FINAL ORDER OF THE COMMISSION ON 10/25/91.
WELLINGTON FINANCIAL GROUP, INC.	99-10	CFTC	11/3/99	4c(b)	33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS IB REVOKED; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
WELLINGTON INERNATIONAL, INC.	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JOINTLY & SEVERALLY LIABLE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
WELLINGTON PRECIOUS METALS, INC.	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JOINTLY & SEVERALLY LIABLE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000;

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							ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
WELLS FARGO BANK, N.A.	87-07792WDK	CD CA	11/19/87	4c(b)	32.11	PERMANENT INJUNCTION	ALL WELLS FARGO GOLD MARKET CERTIFICATES ARE RESCINDED AND CANCELLED; MUST RETURN TO EACH PURCHASER PURCHASE PRICE AND FEE PLUS INTEREST.
WELSH, NOEL L.	88-C-3188	ND OK	06/14/89	4o(1) 4k(2)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
WENBROOK CORPORATION	79-0609-H	ND TX	03/23/81	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	
WEST SIDE FEDERAL SAVINGS AND LOAN ASSOC.	78-1604CSH	SD NY	11/02/81	4c(b)	32.6(a) 32.6(b) 32.9	PERMANENT INJUNCTION	TO PAY \$48,000 TO RECEIVER.
WESTAMERICA CURRENCY, INC.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
WESTBROOKE FUNDING, INC.	85-3169	SD FL	10/25/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
WESTERN AMERICA FINANCE	8-05540JGD	CD CA	05/01/89	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
WESTERN AMERICAN OIL CO.	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
WESTERN FINANCIAL MANAGEMENT	81-18	CFTC	09/17/82	4b 4o(1) 4k(1) 4m 4n 6(b)	1.10c 1.10d 4.21		CEASE & DESSIT ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS CTA; TO WITHDRAW ALL REGISTRATION APPLICATIONS.
WESTERN MANAGEMENT CORPORATION	84-48	CFTC	01/02/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; UNDERTAKE NOT TO TRADE EXCEPT TO HEDGE.
WESTERN NATIONAL TRADING	96-2185	D AZ	01/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 4d(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION IN THE AMOUNT OF \$602,088.05; ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT (ASA); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER THE ACT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT.
WESTFIELD CLEARING, LTD.	78-55	CFTC	05/25/79				TO CEASE DOING BUSINESS OR TRANSFER OWNERSHIP.
WESTFIELD CLEARING, LTD.	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
WESTFIELD CLEARING, LTD.	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
WESTHEIMER, GERALD	85-25	CFTC	02/10/92	4a(5) 4g	1.35		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB.
WESTHEIMER, VALERIE	85-25	CFTC	02/10/92	4a(5)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.
WEXLER, FREDERICK N.	SD-89-5	CFTC	06/08/99				REG. REVOKED AS AP; APPEAL DISMISSED AS UNTIMELY ON 11/14/91.
WHALEY, STEVEN MICHAEL	90-00038	ND IN	08/17/90	4b(A) 4b(B) 4k(3) 4d(2) 4d(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION AGAIN; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
WHALEY, TEDDI JEAN	90-00038	ND IN	08/17/90	4o(1) 4k(3)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
WHARTON, MICHAEL JOSEPH	94-4	CFTC	11/02/93	4a(E) 4g(a) 6(c)	18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000.
WHEALAN, EMMETT J.	96-4	CFTC	11/18/99	4b(a)(i) 4b(a)(iv) 4c(a)(A) 4g(a)	1.35(d) 1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 5 YRS; REGISTRATION AS FB REVOKED; PENALTY AMOUNT \$125,000; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
WHEELER, RICHARD F.	SD-97-7	CFTC				COMPLAINT FILED	
WHICHMAN, JEFFREY JAMES	98-4	CFTC	12/18/98	4(a) 4b(a) 4o(1)(A)	166.4		CEASE & DESIST ORDER; WICHMAN SHALL NOT APPLY FOR REGISTRATION WITH THE

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				4o(1)(B)			COMMISSION IN ANY CAPACITY AND SHALL NOT ENGAGE IN ANY ACTIVITY REQUIRING SUCH REGISTRATION FOR A PERIOD OF 10 YEARS FROM THE DATE OF THE ORDER.
WHIDDEN, KYLE	87-0341R	SD CA	02/05/90	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; GREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CALIFORNIA BUSINESS AND PROFESSIONS CODE; PROHIBITED FROM PARTICIPATING IN BROKERAGE BUSINESS SUBJECT TO SEC, CFTC, FEDERAL, OR STATE LAW FOR TELEPHONE SOLICITATION.
WHITBY, W. MICHAEL	80-2082	WD TN	04/23/82	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
WHITE CREEK TRADING COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
WHITE, GORDON J.	00-09	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY WITH UNDERTAKINGS.
WHITE, THOMAS V.	87-1	CFTC	11/07/86	4c(a)(A) 4c(a)(B) 6(b) 6(c) 9(b)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1-2 MO.
WHITEHALL INVESTORS INTERNATIONAL INC.	84-8601	ND IL	05/09/86	4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WHITEHALL INVESTORS INTERNATIONAL, INC.	86-24	CFTC	04/29/86	4b(A) 4b(C)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
WHITEHOUSE, SUSAN	84-32	CFTC	12/26/84	4b 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
WHITLEY, WILL J.	81-2250-W	WD TN	12/31/86	4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
WICKNERTZ, PETER MAGNUS	92-8529	SD FL	08/23/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	
WICKNERTZ, PETER MAGNUS	93-23	CFTC	08/10/93	4b(a)	33.7(f)		CEASE & DESIST ORDER; PEN.

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				4c(b)	33.10		AMNT.: \$5,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; COOPERATE WITH THIS AND RELATED CASES; NOT TO BE OFFICER, DIRECTOR, EMPLOYEE OR AGENT OF OR RECEIVE COMPENSATION FROM ANY COMMISSION REGISTRANT FOR 2 YEARS.
WIENS, JOEL	84-48	CFTC	01/02/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION.
WIGTON, TERRY G.	97 C 7061	N.D IL	9/12/00	4b(a)(i) 4b(a)(ii) 4k(2) 4k(3) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; RESTITUTION OF \$703,755.45 WHICH INCLUDES DISGORGEMENT OF \$2,507.00 AND PRE-JUDGEMENT INTEREST OF \$168,503.84; PERMANENTLY ENJOINED FROM SEEKING REGISTRATION OR CLAIMING EXEMPTION FROM REGISTRATION W/ COMMISSION IN ANY CAPACITY; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
WIKLUND, MARK B.	83-53	CFTC	03/28/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$60,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; NOT TO APPLY FOR REGISTRATION FOR 3 MONTHS.
WILKENS, RODNEY P.	87-13	CFTC	01/26/89	4b(D) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$500; TRADING PRIVILEGES REVOKED.
WILLARD, ROONEY & WILLIAMS	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
WILLETTE, ALFRED	SD-85-6	CFTC	06/07/85				SUSP. AS FB 6 MO.
WILEY, KEN	96-0200	A	11/05/97	4o(1)(A) 4o(1)(B)		PERMANENT INJUNCTION	DEFAULT JUDGMENT.
WILLIAMS, DAVID EARL	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.
WILLIAMS, FRED RONALD	97-4443	CAL	12/08/7	4b(a)(2)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION;

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							RESTITUTION OF \$2,459,117; ENJOINED FROM SEEKING APPLICATION WITH THE COMMISSION IN ANY CAPACITY.
WILLIAMS, JOHN JERRY	78-21	CFTC	06/16/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
WILLIAMS, RANDALL	97 C 7061	N.D IL.	9/12/00	4b(a)(i) 4b(a)(ii) 4m(1) 4k(3) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION W/ COMMISSION; RESTITUTION OF \$860,444.77 WHICH INCLUDES DISGORGEMENT OF \$6,390.00 AND PRE-JUDGEMENT INTEREST OF \$136,498.41; NFA DESIGNATED AS MONITOR.
WILLIS, BRIAN	97CIV5255	SD NY	01/27/98	4b(a)(i) 4b(a)(ii) 4o 9(a)(1) 4m(1)		PRELIMINARY INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WILSON, DONALD W.	97-9	CFTC	9/29/00	4c(a)(A)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; FB & AP REGISTRATION SUSPENDED FOR 6 MONTHS; ALJ'S INITIAL DECISION VACATED; CASE REMANDED FOR FURTHER DEVELOPMENT OF THE RECORD.
WILSON, WILBERT A.	80-3707	SD NY	03/10/81	4o(1) 4n(4) 4n(3)	4.22 4.23 4.24 4.21(b) 4.21(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WILSON, WILBERT A.	81-10	CFTC	03/27/81	4o(1) 4n(3)(A) 4n(4)	4.21 4.22 4.23 4.24		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
WILT, EARL R.	79-4313	SD NY	09/26/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WINCHESTER-HARDIN- OPPENHEIMER TRADING CO.	77-21	CFTC	09/08/80	4b 4c 4d 4f 4g 4k	1.17 1.20 1.31 1.32 1.33 1.33(a) 1.35		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; NOT TO REAPPLY FOR REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.37		
WINNER, MICHAEL F.	83-52	CFTC	04/12/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
WINOGRAD, ALVIN C.	77-1	CFTC	10/29/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRADING PRIVILEGES REVOKED; SUSP. AS FB 6 MO.
WNUKOWSKI, LESLIE	99 C 2357	N.D. IL	7/17/00			ORDER OF EQUITABLE RELIEF	FREEZE OF ASSETS; DISGORGEMENT OF \$168,920.48 PLUS POST JUDGEMENT INTEREST DEFERRED FOR 3 YEARS AFTER ENTRY OF JUDGEMENT BASED ON SWORN FINANCIAL STATEMENT; ANY RESTITUTION PAYMENTS MADE BY J. MCGIVNEY IN EXCESS OF \$100,000 SHALL SATISFY DOLLAR-FOR-DOLLAR THE DISGORGEMENT OBLIGATION BEFORE EXPIRATION OF 3 YEAR PERIOD.
WOFSEY, BARRY DAVID	76-10	CFTC	05/05/76				CONDITIONALLY REGISTERED AS AP.
WOGEN RESOURCES LTD.	88-01583-R	CD CA	01/09/89	4(a) 4c(b)	32.11	PERMANENT INJUNCTION	TO PAY \$800,000 FOR THE BENEFIT OF CUSTOMERS.
WOHL, MILTON S.	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
WOLCOTT & LINCOLN FUTURES, L.L.C.	99-14	CFTC	08/09/99	4d(2) 4g 6(c)	1.10 1.18 1.20(a) 1.20(c) 1.31 1.32 1.33 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; REG. REVOKED AS FCM.
WOLERT, JEFFREY D.	77-5	CFTC	02/10/78	4c(b) 4o(1) 4o(2)	32.9		CEASE & DESIST ORDER; TO WITHDRAW FROM REGISTRATION AS AP AND NOT REAPPLY FOR 3 MONTHS.
WOLFE, WILLIAM	84-6717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
WONG, FRANK C. Y.	92-259	ED NY	01/27/98	4(a) 4b(a) 4d(1)	3.10	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; APPOINTMENT OF EQUITY RECEIVER; WONG SHALL PAY \$20,000 TEN DAYS AFTER THE

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ENTRY OF THIS CONSENT ORDER.
WONG, MOSES L.	93-0088	ED NY	06/07/94	4(a) 4b(A) 4d(1)		PERMANEN TINJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; \$500,000.
WONG, MOSES L.W.	93-0067	CD CA	06/18/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; \$1,100,000 TO RECEIVER JOINTLY WITH PUNDI FORSTEN INTERNATIONAL.
WONG, MOSES L.W.	93-8	CFTC	05/21/93	4(a)			CEASE & DESIST ORDER; WITHDRAWAL AS AP OF PUNDI PASAKA COMMODITY; NEVER REAPPLY FOR REGISTRATION IN ANY CAPACITY OR ACT IN CAPACITY REQUIRING REGISTRATION.
WONG, PO FUK	95-5416	SD NY	02/19/98	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CMP \$250,069.17; DISGORGEMENT TO RECEIVER \$83,356.39; ALL DEFENDANTS ARE JOINTLY & SEVERALLY LIABLE TO TII CUSTOMERS OF \$893,218.77 WITH INTEREST FROM THE DATE OF THE VIOLATIONS.
WONG, SIMON	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
WOODS, ROY L.	80-14	CFTC	11/02/81	8b			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 3 MO.; SUSP. AS AP 3 MO.
WOODSTOCK INC.	87-4	CFTC	12/17/86	4b	1.35 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$310,000.
WOODSTOCK, INC.	87-3	CFTC	12/17/86	4b 6(b)	166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$180,000.
WOOLCOT, STEEN	88-8130	SD FL	06/17/88	4b 4b(A) 4b(B) 4b(C) 9(a) 4d(1) 4k(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WOOLSLEY, THOMAS	80-2082	WD TN	01/26/81	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WORD, CALVIN L.	86-6	CFTC	11/28/99	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRADING PRIVILEGES REVOKED; REG.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REVOKED AS AP.
WORLD TRADING GROUP	90-32	CFTC	09/22/92	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; REG. REVOKED AS IB.
WORLD WIDE COMMODITIES MANAGEMENT CORP.	76-20	CFTC	09/26/76				REG. REVOKED AS CPO.
WORLD WIDE FUNDING, LTD., INC.	86-0099	SD FL	01/21/86	4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS TO BE DISSOLVED.
WORLDWIDE CURRENCIES, INC.	96-7814	Y	12/23/98	4(a) 4b(a)(i) 4d(1) 9(a)(1)		PERMANENT INJUNCTION	CMP OF \$7,142,393.55 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS; RESTITUTION TO CUSTOMERS OF \$2,380,797.85 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS.
WORLDWIDE PETROLEUM	80-0689	SD NY	07/19/82	4b		PERMANENT INJUNCTION	
WORSHAM, MARSHALL L.	96-3	CFTC	03/16/99	4b 4o	4.41(a)		
WORTH FINANCIAL DATA	94-1256	CD CA	10/03/96	4(a)		PERMANENT INJUNCTION	DISGORGE \$100,000 TO EQUITY RECEIVER; ENJOINED FROM SELLING/PURCHASING OR OFFERING TO SELL OR PURCHASE ANY COMMODITY OR OPTION.
WORTH, RICHARD S.	78-27	CFTC	06/30/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
WOZNAK, RICHARD	76-2095R	CD CA	07/16/76	4b 4c		PRELIMINARY INJUNCTION	
WOZNAK, RICHARD	77-8	CFTC	06/23/77	4b 4c			TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
WRENTMORE, DANIEL M.	90-20380	ND CA	02/04/92	4m(1) 4n(3)(A)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; DISGORGE AND/OR MAKE PARTIAL RESTITUTION OF \$295,843; PAY 10% OF GROSS INCOME TO COURT.
WRIGHT, CHARLES W.	78-24	CFTC	12/22/78				REG. DENIED AS AP.
WRIGHT, GARY	93-24	CFTC	08/13/93	4c(a)(A) 8a(3)(E)	1.38(a)		TRAD. PRIV. SUSP. 30 MO.; LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO ACT AS FB FOR 6 MONTHS.
WRIGHT, ROGER J.	97-2	CFTC	06/30/97	4(a) 4c(b) 4m(1) 4o(1) 4b	33.10 4.13(b) 4.31(a) 1.37(a)	AMENDED COMPLAINT FILED	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WTC INVESTMENT GROUP, INC.	88-1571	D AZ	09/28/88	4c(b) 4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 4.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
WTC INVESTMENT GROUP, INC.	88-31	CFTC	09/29/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1)	4.21 4.22 4.23 4.20(b) 4.20(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO; NOT TO APPLY FOR REGISTRATION.
WU, MICHAEL	93-0067	CD CA	05/20/94	4(a)		PERMANENT INJUNCTION	
WU, QI	93-0088	ED NY	12/06/94	4(a) 4b(A)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
WUENSCH, MARC STEPHEN	92-6832		09/29/97 01/22/99 12/07/99	4b(a)(i) 4b(a)(iii) 4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	DISGORGEMENT OF \$2,290,207.60; GRANTED CREDIT OF \$246,745.36; BALANCE DUE OF \$2,043,462.30; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION RECEIVER APPOINTED.
WYMER, STEVEN DAVID	SD-92-3	CFTC	09/30/92	8a(2)(C)			REG. REVOKED AS CTA.
X-CEL COMMODITIES CORP.	88-8635	SD NY	12/09/88	4d(2) 4f(2)	1.20(a) 1.17(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
XIE, JEFF	93-0067	CD CA	05/20/94	4(a)		PERMANENT INJUNCTION	
XU, JASON	93-0088	ED NY	06/07/94	4(a) 4b(A)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
YANG, JOSEPH LEE	87-17	CFTC	09/22/87	4b(A) 4m(1) 4o(1)	4.20(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.
YATVIN, MICHAEL B.	91-21	CFTC	06/30/92	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; MAY NOT SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT ENGAGE IN ACTIVITIES REQUIRING REGISTRATION.
YEE, PAUL	79-26	CFTC01/20/84	4c(b)	32.5 32.9 32.6			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
YEH, FRANK	93-0067	CD CA	12/19/94	4(a)		PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
YEH, FRANK	95-7	CFTC	01/23/96	4(a) 6(c)			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
YERMACK, BRUCE H.	83-51	CFTC	06/15/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
YORKSTONE RESEARCH, INC.	82-777	ND NY	09/17/82	4b(A) 4o(1)	4.30 4.31 4.41	PERMANENT INJUNCTION	DISGORGEMENT.
YORKSTONE RESEARCH, INC.	83-34	CFTC	07/07/83	4b(A) 4o(1)	4.30 4.31(a) 4.31(b) 4.41		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
YOUNG, CLARKE D.	88-32	CFTC	09/30/88		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
YOUNG, TERRY W.	85-32	CFTC	09/20/88	4d 4n(4)	1.7 1.20(a) 1.33(a) 4.22(h) 4.24(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
YU, JOE	92-259	ED NY	12/09/92	4a 4b(A) 4d(1)	3.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
YU, NELSON	93-0088	ED NY	12/06/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
YURGEL, GLENN	82-16	CFTC	03/25/82	4 4h 4c(b) 4c(c) 4m	32.11 166.3		CEASE & DESIST ORDER; TO DISSOLVE CORPORATE RESPONDENTS AND NOT APPLY FOR REGISTRATION AS CPO OR CTA FOR 1 YEAR.
YURGEL, GLENN	82-6203	SD FL	04/15/82	4c(b) 4c(c)	32.11 166.3	PERMANENT INJUNCTION	
ZACK, EUGENE M.	78-115	ND IL	01/20/78	4f(2)	1.17	PERMANENT INJUNCTION	
ZACK, SAMUEL N.	78-115	ND IL	01/20/78	4f(2)	1.17	PERMANENT INJUNCTION	
ZACK, SAMUEL N.	79-44	CFTC	02/17/88	4f(1) 4f(2) 19 6(b)	1.17(a) 31.03 1.18(a) 1.10		PEN. AMNT.: \$100,000; REG. REVOKED AS AP.
ZAMOJCIN, ALFRED JOHN	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$5,000; SHALL COMPLY WITH UNDERTAKINGS INCLUDING: FOR A ONE YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
ZARCONE, PHILLIP C.	93-18	CFTC	08/10/93	4f(b) 6(c)	1.10(d) 1.17(a)(1)(i) 1.17(a)(4)		CEASE & DESIST ORDER; BARRED FROM PRACTICING BEFORE THE COMMISSION AS AN ACCOUNTANT FOR 8 YEARS.
ZARCONE, PHILLIP C.	93-19	CFTC	08/10/93	4b(a)(i) 4c(b) 4o(1)(B)	33.10(a)		CEASE & DESIST ORDER.
ZATZ, DAVID	92-10	CFTC	09/10/93				ID SUMMARILY AFFIRMED; MOTION FOR STAY DENIED.
ZEE, RICHARD JOHN	94-0220-C	ND CA	05/08/95	4(a)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; COOPERATE WITH COMMISSION.
ZEFF, EDWARD JAY	90-8	CFTC	03/27/90	4b 4c(b)	33.10 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; REG. REVOKED AS AP.
ZEITLIN, WILLIAM S.	94-7910	CD CA	08/21/95	4b(a) 4n(3)(A) 4o(1)(A) 4o(1)(B)	1.31 4.20(b) 4.20(c) 4.23 4.32	PERMANENT INJUNCTION	DISGORGEMENT OF \$151,000 JOINTLY OWED WITH CCFI.
ZELNER, EDWARD L.	77-1	CFTC	10/29/85	4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,400; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 6 MO.
ZENN, KENNETH M.	79-4867	SD NY	10/30/79	4c(b) 4c(c)		PERMANENT INJUNCTION	
ZIA INVESTMENTS	93-C1022E	ND OK	12/11/98	9(a)(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATON WITH THE COMMISSION IN ANY CAPACITY.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/00

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ZIEGLER, TERRY	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER.
ZIEGLER, TERRY R.	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
ZIEGLER, TERRY R.	82-6850NCR	SD FL	01/11/84	4d(2) 4f(2) 4g(1)	1.20(a) 1.17(a) 1.31 1.32 1.25 1.26 1.28	PERMANENT INJUNCTION	
ZILBERT, MARC G.	85-6936	SD FL	01/24/86	4c(b) 4c(c)	33.9(c) 33.9(e) 33.3(a) 32.11(a) 33.10 32.9 33.3(b)(1) 33.7(b)	PERMANENT INJUNCTION	DISGORGEMENT; PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.
ZIMMERMAN, DARRELL M.	94-10	CFTC	09/26/94	6(c) 6(d) 9(a)(2)	33.9(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
ZINS, BRUCE	80-17	CFTC	09/04/81	4g(1) 4g(3)	1.31(a) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; SUSP. AS FB 1 MO. OR LESS.
ZIOLKOWSKI, RAYMOND F.	83-58	CFTC	12/07/84	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
ZIPKIN, NORMAN	83-1591EBD	SD FL	01/30/85	4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS.
ZIPKIN, WILLIAM L.	83-1591EBD	SD FL	09/18/85	4b 4o(1)	4.21(a) 4.22(a) 4.22(b) 166.3	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
ZIPKIN, WILLIAM L.	85-27	CFTC	09/16/85	4b 4o(1)	4.21(a) 4.22(a) 4.22(b) 166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS AND THEN ONLY AS AP OF FCM;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							NOT TO BE OFFICER OR PRINCIPAL, OR HAVE A PECUNIARY INTEREST IN ANY REGISTERED ENTITY.
ZOLLER, JAMES M.	97-5691	INN.	02/23/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(b) 4.20(c)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RESTITUTION PLUS INTEREST; RESTRAINED FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; PRELIMINARY INJUNCTION ENTERED 11/21/97 SETTING FORTH RECEIVER POWERS REMAIN IN EFFECT
ZORDANI, GERALD F.	85-46	CFTC	02/21/86	4c(a)(B) 4e	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
ZOWEC INVESTMENT CORPORATION	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
ZOWEE INVESTMENT CORPORATION	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
ZUCCARELLI, ERIC	SD-97-3	CFTC	04/15/99				INITIAL DECISION IS VACATED; CASE REMANDED FOR FURTHER PROCEEDINGS.
ZURICH TRADING CORPORATION	82-27	CFTC	09/12/86	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4h(2) 4n(3)(A) 4n(4) 4o(1)	1.7 1.20(a) 4.20 4.21(a) 4.21(b) 4.21(c) 4.22(a) 4.21(g) 4.22(n) 4.23 1.31 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; PEN. AMNT.: \$27,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS CTA & CPO; APPEAL WITHDRAWN 11/24/86.

